The National Nuclear Security Administration

Human Capital Management Strategic Plan

Draft September 30, 2005

TABLE OF CONTENTS

Executive Summary

Section 1: Mission and Goals

Section 2: Human Capital Management at NNSA

Section 3: Workforce Analysis

Section 4: Human Capital Strategies

Appendices

TABLE OF CONTENTS

List of Tables and Charts

Executive Summary

In 2000, the National Nuclear Security Administration (NNSA) was established as "a separately organized agency" within the Department of Energy (DOE) by Title 32 of the National Defense Authorization Act for Fiscal Year 2000 (the *NNSA Act*). We manage highly visible U.S. security programs, enhance U.S. national security interests through the research, development, testing, production, assembly, disassembly, and maintenance of the U.S. nuclear weapons stockpile, promote international nuclear non-proliferation and safety, reduce global danger from weapons of mass destruction, provide the U.S. Navy with safe and effective nuclear propulsion, and oversee national laboratories and other production facilities to maintain U.S. leadership in science and technology. NNSA was chartered as a distinct organization within the DOE to impose a better management focus on the Department's principal national security missions and programs.

The NNSA Human Capital Management Strategic Plan (HCMSP) describes our mission, vision, goals, values, human capital strategies, initiatives, and performance measures. Our approach to Human Capital Management is to develop and implement an integrated planning process that enumerates NNSA's workforce management strategies that will provide a management framework better enabling us to work seamlessly across the enterprise to fulfill both NNSA's and the Department's mission and goals. The strategies and initiatives outlined in this Plan support the President's Management Agenda (PMA) and the Office of Personnel Management's (OPM) Human Capital Strategic Framework and Standards for Success.

> …ensuring the right skills are in the right jobs in the right places at the right time…

After undergoing a rigorous restructuring and downsizing initiative, we are in the final stages of redeploying employees in "the NNSA of the Future." With the unprecedented decision to disestablish three Operations Offices (the Operations Office is the centerpiece of DOE's traditional field management structure), combined with strengthening eight Site Offices and establishing a consolidated business and technical support Service Center located in Albuquerque, New Mexico, NNSA has reduced a principal layer of management, with Site Managers reporting directly to the Administrator, while streamlining the management and oversight of operating contractors by placing Federal overseers at Site Offices closest to the contractors. Initiated in December of 2002, the purpose of NNSA's major restructuring initiative was to improve the efficiency and effectiveness of operations, with fewer employees.

Ensuring the right skill mix is acquired and retained has been a challenge during this restructuring initiative, and remains one of our greatest management challenges. Looking to the future, NNSA is developing an action plan for ensuring the right skills are in the right jobs in the right places at the right time to effectively carry out our missions, and to be more efficient in doing so. Our path forward is to attract and retain the appropriate talent to ensure we are a premier nuclear security enterprise. We believe our employees are our biggest assets and that without mission-critical skills sets; we will not be able to meet and sustain our mission and goals.

The following depicts our vision, mission, and core values:

Vision
We strive to be an integrated nuclear security enterprise operating an efficient and agile nuclear weapons complex, recognized as preeminent in technical leadership and program management.
Mission
We protect our nation's security by managing the nuclear weapons programs and assets in a safe and secure manner, and by reducing the global threat from terrorism and weapons of mass destruction.
Core Values
We are building an enduring legacy by embracing the following core values: ◆ *Excellence.* We strive for excellence in performing our critical national security missions; scientific exploration and technology development; laboratory and industrial operations; information and materials security; environment, safety, and health; and project and program management. ◆ *Integrity.* We demand the highest standards of ethical behavior, for each of us is personally entrusted with and accountable for protecting and defending our national security. We will meet our commitments. ◆ *Respect.* We treat our colleagues with dignity, inclusion, provide fair opportunity, and reward achievement. ◆ *Teamwork.* We accomplish our mission by working cooperatively and respecting the roles of leaders and team members. ◆ *Diversity.* We recognize and appreciate the value of the diverse dimensions of our colleagues. We will advance these values to become a multicultural organization and the "employer of first choice."

Section 1: Mission and Goals

Introduction

Since stand-up, the NNSA workforce has experienced drastic changes. Re-engineering and re-deployment initiatives have challenged NNSA employees to radically change the way in which they function and operate.

A new leadership structure and organizational model were officially stood-up. Three Operations Offices were abolished, thus eliminating an entire level of Federal program management. Eight Site Offices were established, thus strengthening NNSA's major field entities. A single Service Center was established in which most business practices and common support functions were centralized; and staffing targets were levied across NNSA.

The upcoming year will emphasize workforce revitalization, right-sizing by better matching employee skills to job requirements (i.e., bringing into better balance our significant skills mix and skills gaps), in part a natural outgrowth of several years of management reform and workforce restructuring, but also a product of changing mission priorities, emerging technology and new occupational needs, and a relatively immobile, aging workforce. Our priority is to:

- Better match employees to skill requirements
- Develop an agile mobile workforce
- Develop a pipeline to bring in talent to lower the average age of the Federal workforce
- Leverage diversity to minimize barriers in developing and maintaining an effective workforce.

What we are most challenged by now is having pockets throughout NNSA of too many employees who do not have the right skills for our immediate and emerging work requirements. Or to put it another way, we don't have enough employees with the right skills sets.

Human Capital Vision

Our human capital vision is to be the "employer of first choice" in a highly competitive marketplace and to hire, retain, and develop the right talent at the right time in the right place.

NNSA strives to be the "employer of first choice" in a highly competitive marketplace...Ray Greenberg, Director, Office of Human Resources and Workforce Management

Human Capital Mission

The Office of Human Resources works as strategic partners with Headquarters, Site Office, and Service Center management to ensure that NNSA's Human Capital Management policies, plans, programs, and practices facilitate the effective

management of the NNSA workforce of today and the future.

Our Ideal Staff

Our "ideal staff" is a diverse and dynamic blend of experience and youth; a staff of top-performing program experts, rounded out by talented newcomers with unbounded potential and eagerness who are dedicated to public service and the stewardship of the Nation's most important national security programs. As Administrator Linton Brooks recently said, "Simply stated, NNSA's challenge is to attract highly skilled individuals who have an interest in keeping National security strong through sometimes unusual jobs. Our nation's security depends on it."

> **NNSA Administrator Linton F. Brooks said, "Simply stated, NNSA's challenge is to attract highly skilled individual's who have an interest in keeping National security strong through sometimes unusual jobs. Our nation's security depends on it."**

How We Will Get This Staff

We will make NNSA an "employer of first choice" by: 1) better marketing of NNSA as an attractive twenty-first century employer, 2) streamlining the hiring process, with a re-emphasis of the manager's and HR collaboration, 3) using aggressive recruitment and retention incentives, 4) developing and

institutionalizing a Managed Staffing Plan process designed to formalize the identification of skills gaps and critical hiring needs, and to provide an annualized budgetary framework for job creation and recruitment activities, 5) refining the HCMSP, which incorporates succession planning strategies and goals, 6) developing and implementing the NNSA Future Leaders Internship Program tailored to NNSA's specific and emerging engineering, security, and business needs, and 7) promoting and supporting a diverse workforce and cultural environment.

Section 2: Human Capital Management at NNSA

President's Management Agenda

The President's vision for government reform is guided by three principles. Government should be: 1) citizen-centered, 2) results-oriented, and 3) market-based, actively promoting rather than stifling innovation through competition. The PMA includes five government-wide initiatives: 1) competitive sourcing, 2) improved financial performance, 3) expanded electronic government, 4) budget and performance integration, and 5) strategic management of human capital.

This Plan supports the PMA's call for agencies to utilize "strategic workforce planning and flexible tools to recruit, retain, and reward employees and develop a high performing workforce." It supports efforts to de-layer management and re-distribute the allocated staff to front-line service delivery positions to reduce distance between citizens and decision-makers.

> **This Plan supports the PMA's call for agencies to utilize "strategic workforce planning and flexible tools to recruit, retain, and reward employees and develop a high performing workforce"…**

Human Capital Standards and Tools at NNSA

A variety of source documents have been used as a basis for developing Human Capital Management initiatives, including: the *NNSA Act* and amendments, the NNSA Strategic Plan, and the Future Years Nuclear Security Plan (FYNSP). The following Information Technology (IT) applications are used to obtain workforce analysis data: DOEInfo, DOE JOBS Online (*QuickHire*), and the Corporate Human Resource and Information System (CHRIS).

Human Capital Roles

By statute (*NNSA Act*) and Secretary of Energy delegation, the Administrator is vested with inherent Human Resources (HR) authorities and is chiefly responsible for Human Capital Management in NNSA. It is the Administrator's pre-eminent management strategy to create, nurture, and sustain a well-managed, inclusive, productive, cost-effective, and accountable workforce. To that end, he has tasked his senior program managers and HR officials to develop, institute, and carry out a vibrant, comprehensive, and responsive Human Capital Program, founded on management principles, organizational designs, and HR policies that instill effective management, that promote fair and proper personnel decisions, and that foster good government.

Program Managers and Line Supervisors are the key management agents in carrying out the Administrator's HR authorities and in fulfilling his strategic Human Capital goals and requirements. Through their inherent management responsibilities to assign work, to establish positions, to make personnel selections, and to appraise employee performance, NNSA's managers and

supervisors are the linchpins to successful achievement of the Administrator's and the Secretary's fundamental Human Capital strategies and management goals.

The Associate Administrator for Management and Administration, the Director of Human Resources, and the Manager of the Human Resources Department in the Service Center, are the chief advisors on Human Capital Management programs, requirements, and initiatives in NNSA. They directly advise the Administrator and the other senior Administration officials, and Program Managers who constitute NNSA's Leadership Coalition. (The role of the Leadership Coalition is to serve as an executive forum in NNSA to address crosscutting organizational, management, and program issues, and to develop and recommend strategies to improve corporate operational effectiveness.) The Administrator looks to these HR officials to formulate Human Capital principles and objectives, and to develop HR polices and program initiatives, that further the attainment of NNSA's fundamental Human Capital strategies and management goals.

The Office of Human Resources at Headquarters and the Human Resources Department in the Service Center are the principal agents of everyday HR advice and efficient personnel operations in NNSA. The Administrator has delegated to these HR professionals the power to make Federal appointments and to serve as the agency's key agents in advising and assisting managers and supervisors in executing personnel decisions, in informing employees of their civil service entitlements and benefits, and in

efficiently carrying out Human Capital Management programs in NNSA.

> **By statute (NNSA Act) and Secretary of Energy delegation, the Administrator is vested with inherent Human Resources (HR) authorities and is chiefly responsible for Human Capital Management in NNSA. It is the Administrator's pre-eminent management strategy to create, nurture, and sustain a well-managed, inclusive, productive, cost-effective, and accountable workforce.**

Workforce Planning and Deployment Process

NNSA defines workforce planning as a systematic process for identifying the Human Capital needs required to meet agency goals and for developing strategies to meet those needs. Our Workforce Planning and Deployment process is intended to address differences between "head count" and "head content." The phases and steps associated with the process include:

Phase I: Set Strategic Direction 1) determine functional requirements of the workforce through the agency's strategic planning and budgeting process; and 2) identify strategic goals and objectives that support the vision and mission of NNSA and link to the Department's mission and goals.

Phase II: Conduct Workforce Analysis 1) create workforce profile (supply); 2) establish future workforce needs based on strategic goals and demographics and economic forecasts (demand); 3) analyze gaps between stand-up, current capabilities and future needs; and 4) develop strategies, associated initiatives, and performance measures to reduce skill set (competency) short falls and surpluses.

Phase III: Implement Action Plans Implement strategies and action plans.

Phase IV: Measure, Evaluate, and Revise 1) evaluate progress based on performance measures, revise and update as changes occur; and 2) evaluate the effectiveness of the plan, results, update assumptions and data, revise plan as needed.

Phase V: Communicate strategies to obtain buy-in from stakeholders and commitment to implementation initiatives. At NNSA, we work in a collaborative environment. Select avenues for communicating initiatives to employees and stakeholders, such as LINTGRAMs (employee communiqués from the Administrator), NNSACASTs (employee communiqués in general), DIVERSITYCASTS, all-hands meetings, various programmatic newsletters, NNSA Internet sites, and possibly targeted focus groups.
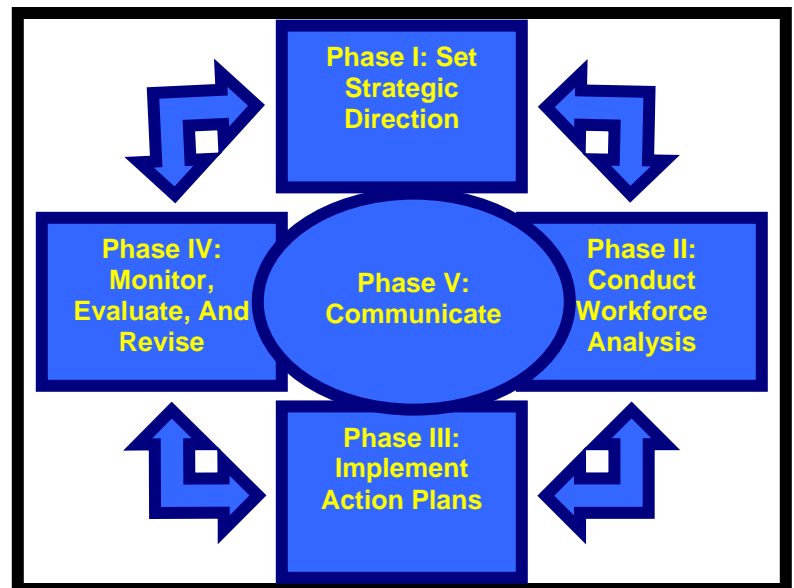
Figure 2-1: Workforce Planning and Deployment Process
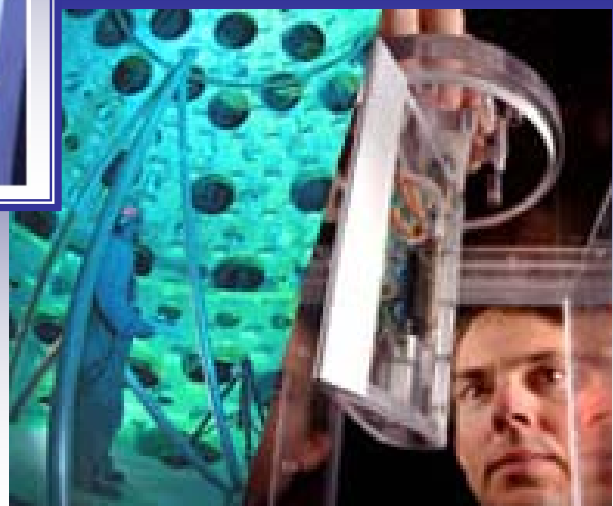
Section 3: Workforce Analysis

The Workforce Analysis section of this document presents stand-up, current, and future workforce trend data. The data provided in this section was compiled with the help of a variety of source documents and IT applications such as DOEINFO and CHRIS.

NNSA At-A-Glance

Workforce Demographic Highlights: Federal Civilian Workforce vs. NNSA		
	Fed	**NNSA**
Full Time	93.6%	100%
% in DC Area	12.3%	25.5%
Diversity		
Women	45.0%	33.0%
Native American	2.0%	1.8%
Asian//Pacific Islander	4.4%	3.9%
African American	17.7%	7.1%
Hispanic	6.7%	17.1%
Veteran's Preference (excludes DOD)	19.2%	26.2%
Disabled	7.1%	5.5%
Targeted Disabilities	1.1%	0.6%
Education/Experience		
Bachelor's or higher	41.0%	63.7%
Supervisors/Managers	11.1%	17.0%
Average Grade	9.5	14
Avg. Length of Service	16.8	17.5
Retirement Eligible	27.0%	17.1%
Age		
Average Age	46.7	46.6
Less than 30 years	4.7%	7.0%
30-39 years	21.2%	18.3%
40-49 years	36.0%	33.9%
At least 50 years	38.1%	40.8%

Table 3-1: NNSA At-A-Glance

Table 3-1: NNSA At-A-Glance, shows the NNSA workforce demographics compared to the Executive Department of the United States Government. The column marked "FED" contains the data taken from the *THE FACT BOOK,* produced annually by the OPM. The information contained in the column marked NNSA was compiled from data obtained from the Departments personnel database, DOEINFO on September 6, 2005.

Size

NNSA had 2,370 Federal employees at the end of FY 2003. Re-alignments and consolidations resulted in steadily decreasing the employee level to 2,272 at the end of FY 2004. During FY 2005, NNSA has increased the employee level to 2,477 toward a target of 2,566. The target for the end of FY 2006 is 2,696. *Table 3-2: NNSA Staffing by Group*, shows the NNSA staffing targets and levels by fiscal year.

	FY 2004 EOY On-Board	FY 2005 EOY Projected	FY 2005 EOY On-Board	FY 2006 EOY Projected
Office of the Administrator NA-1/NA-4	47	56	61	56
Defense Programs NA-10	177	178	166	178
Nuclear Nonproliferation NA-20	229	252	234	283
Emergency Operations NA-40	67	86	68	91
Facilities and Operations NA-50	22	22	22	22
Management and Administration NA-60	90	83	91	83
Defense Nuclear Security NA-70	12	22	22	28
New Leader Program (Interns)	0	32	31	62
NNSA Headquarters	**644**	**731**	**695**	**803**
Y-12 Site Office	75	84	81	84
Pantex Site Office	80	87	86	87
Sandia Site Office	89	89	88	89
Kansas City Site Office	50	50	50	50
Los Alamos Site Office	96	111	96	111
Nevada Site Office	106	102	110	102
Livermore Site Office	90	94	99	94
Savannah River Site Office	21	22	21	22
NNSA Site Offices	**607**	**639**	**630**	**639**
NNSA Service Center	**395**	**470**	**457**	**470**
Naval Reactors	**180**	**204**	**196**	**204**
Office of Secure Transportation (OST)	**446**	**522**	**499**	**580**
Total	**2272**	**2566**	**2477**	**2696**

Table 3-2: NNSA Staffing by Group

The Defense Program component at the NNSA Headquarters has had personnel reductions and the Counterintelligence, Nuclear Non-Proliferation and Defense Nuclear Security components have seen substantial growth.

The NNSA Site Offices that have experienced increases in personnel include Y-12, Pantex, Nevada, and Livermore. The Sandia site office has had personnel reductions.

The NNSA Service Center has been successful in replacing a large number of employees that declined the re-location to Albuquerque, New Mexico during the centers establishment. The Naval Reactors group has had a steady increase.

The increase in the Office of Secure Transportation includes 42 additional Nuclear Material Couriers.

Occupational Group Profiles

The *NNSA of the Future Realignment Package dated December 19, 2002* identified the functions that the workforce was expected to perform and aligned them with each organization's mission statement. Functions and Occupational groups are interchangeable for the purpose of this Plan. The following functions were identified and are common across the enterprise:

- Directors and Program Management
- Administration
- Human Capital Management
- Program and Budget Analysis
- Procurement and Contracting
- Financial and Accounting
- Legal
- Foreign Affairs and Intelligence
- Public Affairs
- Science and Engineering
- Security
- Safety and Health
- Logistics
- Quality Assurance
- Emergency Management
- Information Technology

Chart 3-1: NNSA Functional Areas, shows the distribution of the NNSA workforce across the various functions. The Science and Engineering function contains the largest percentage of personnel. All of the Directors, Site Managers, Department Managers and their Deputies, along with the Program Managers, are included in the Directors and Program Management function. The Logistics function is responsible for property management and transportation and has a large number of couriers. The Administration function is made up of specialist, advisors, and administrative support personnel.
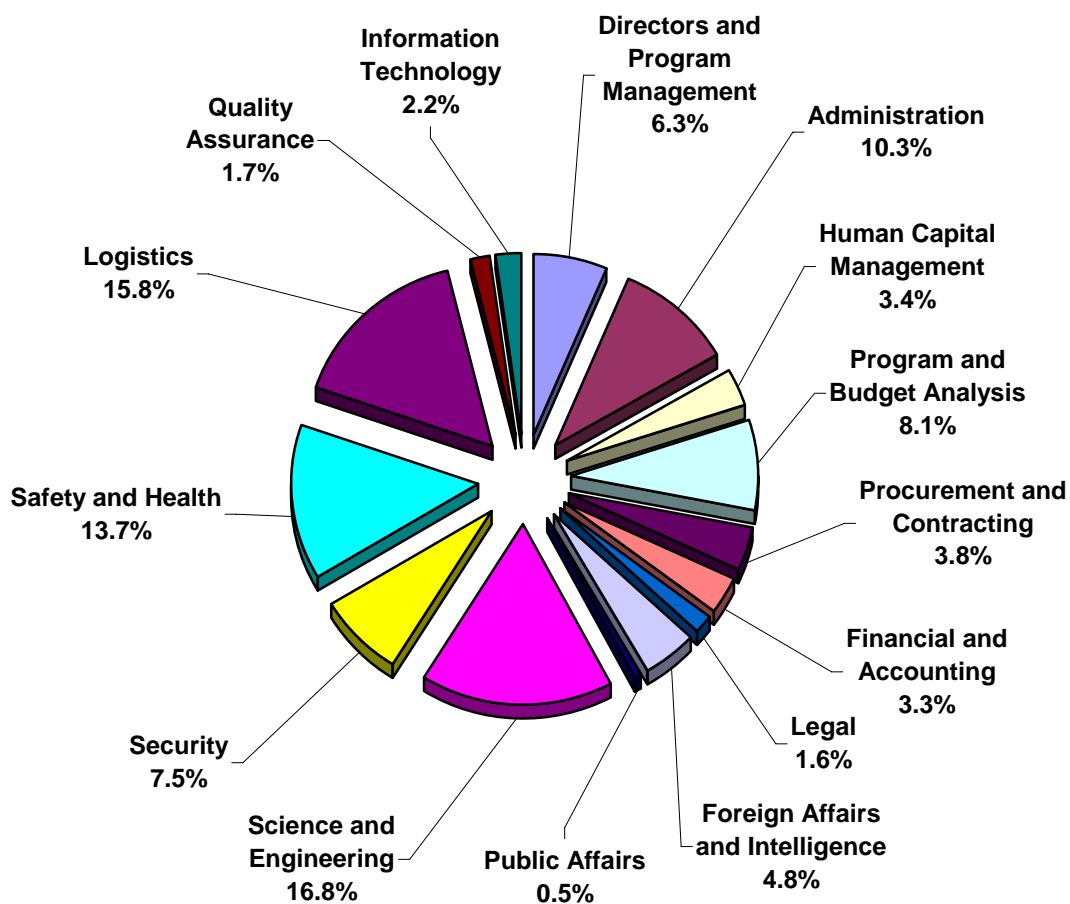
Chart 3-1: NNSA Functional Areas

Functions Performed Across NNSA Groups

Functional Area	NNSA Headquarters	NNSA Site Offices	NNSA Service Center	Naval Reactors	Office of Secure Transportation	Function Total
Directors and Program Management	72	30	13	11	26	152
Administration	86	60	62	14	24	246
Human Capital Management	10		46	21	5	82
Program and Budget Analysis	99	28	37	23	10	197
Procurement and Contracting	9	17	59	1	7	93
Financial and Accounting	1	6	52	1	19	79
Legal	6	9	22	0	2	39
Foreign Affairs and Intelligence	113			4		117
Public Affairs	1	8	3	0		12
Science and Engineering	173	118	39	12	63	405
Security	22	77	56	9	18	182
Safety and Health	35	234	39	9	4	321
Logistics	4	2	13	359	5	383
Quality Assurance	2	37	1	1		41
Emergency Management	42	1	1	30		74
Information Technology	20	3	14	4	13	54
Group Total	**695**	**630**	**457**	**499**	**196**	**2477**

Table 3-3: Functions Performed Across NNSA Groups

Table 3-3: Functions Performed Across NNSA Groups, lists the types and numbers of personnel in the functions for each of the NNSA groups. Not all of the functions are performed in all of the activities within the groups. The majority of the personnel are in the Safety and Health, Science and Engineering, Administration, and Management functions. Foreign Affairs and Intelligence functions are primarily performed at Headquarters. The NNSA Site Office's Human Capital Management functions are performed by the NNSA Service Center. The Public Affairs functions are limited to the Headquarters, Site Offices, and the Service Center.

Although there are some Logistics functions performed by all NNSA Groups, the largest amount is accomplished in the Office of Secure Transportation. Quality Assurance

functions are limited to the Headquarters, Site Offices, Service Center, and the Office of Secure Transportation.

Years of Federal Service by NNSA Functional Area

Functional Area	Less Than 10 Years	10-19 Years	20-29 Years	30-39 Years	40-49 Years	Percentage with 20 years or more
Directors and Program Management	24	39	50	35	4	58.55%
Administration	76	69	63	38	3	41.77%
Human Capital Management	15	32	28	7		42.68%
Program and Budget Analysis	19	62	67	49		58.88%
Procurement and Contracting	8	32	38	14	1	56.99%
Financial and Accounting	9	24	34	12		58.23%
Legal	7	13	14	5		48.72%
Foreign Affairs and Intelligence	86	16	11	4		12.82%
Public Affairs	1	6	2	3		41.67%
Science and Engineering	84	152	129	41	1	42.01%
Security	35	54	66	27		51.10%
Safety and Health	49	145	112	25	1	41.57%
Logistics	186	93	79	25		27.15%
Quality Assurance	7	16	12	6		43.90%
Emergency Management	21	19	27	7		45.95%
Information Technology	13	17	18	6		44.44%
Total	**640**	**789**	**750**	**304**	**10**	**42.68%**

Table 3-4: Years of Federal Service by NNSA Functional Area

The average years of service for NNSA personnel is 18.2 years. Five of the functions have over 50 percent of the personnel with more than 20 years of Federal Service: Directors and Program Management, Program and Budget Analysis, Procurement and Contracting, Financial and Accounting, and Security.

Age Clusters by NNSA Functional Area

Functional Area	Less Than 30 Years	30-39 Years	40-49 Years	50-59 Years	60-69 Years	70 & UP Years	Average Age	Percentage Older Than 49 Years Old
Directors and Program Management		9	47	73	22	1	52.9	63.16%
Administration	34	33	69	94	18	1	46.6	45.38%
Human Capital Management	6	18	31	24	3		46.0	32.93%
Program and Budget Analysis	2	32	75	74	14		48.7	44.67%
Procurement and Contracting	0	12	44	32	5		48.6	39.78%
Financial and Accounting	2	8	36	28	5		48.6	41.77%
Legal	3	6	4	19	7		50.1	66.67%
Foreign Affairs and Intelligence	15	49	27	19	7		41.7	22.22%
Public Affairs	1	1	3	7			49.0	58.33%
Science and Engineering	35	51	149	118	52	2	48.3	42.26%
Security	3	20	70	72	16	1	50.1	48.90%
Safety and Health	6	28	144	125	29		49.7	46.39%
Logistics	63	168	83	68	1		39.6	18.02%
Quality Assurance	1	6	13	17	4		50.0	51.22%
Emergency Management	0	6	29	32	7		51.7	52.70%
Information Technology	3	9	22	16	4		47.1	37.04%
Total	**174**	**456**	**846**	**818**	**194**	**5**	**47.2**	**43.00%**

Table 3-5: Age Clusters by NNSA Functional Area

The average NNSA employee is 47.2 years old. Six of the functions: 1) Directors and Program Management; 2) Legal; 3) Public Affairs; 4) Security; 5) Quality Assurance; and 6) Emergency management have over 50 percent of the personnel that are over 49 years old.

Retirement Eligibility Profile

The average NNSA employee will be eligible for voluntary retirement in FY2015, over nine years in the future. However, a large number, 406 or 16.3 percent of the total NNSA workforce, are currently eligible for retirement.

The NNSA employees that have retired without an incentive since the stand-up in February 2003 have an average age of 59 with three years of eligibility. Using this statistic, the probable attrition to retirement over the next five years can reach 431 employees. *Chart 3-2: Projected Retirement Eligibility and Probable Attrition* shows the number of personnel that will be eligible for retirement, and the projected loses, over the next five years.

Projected Retirements

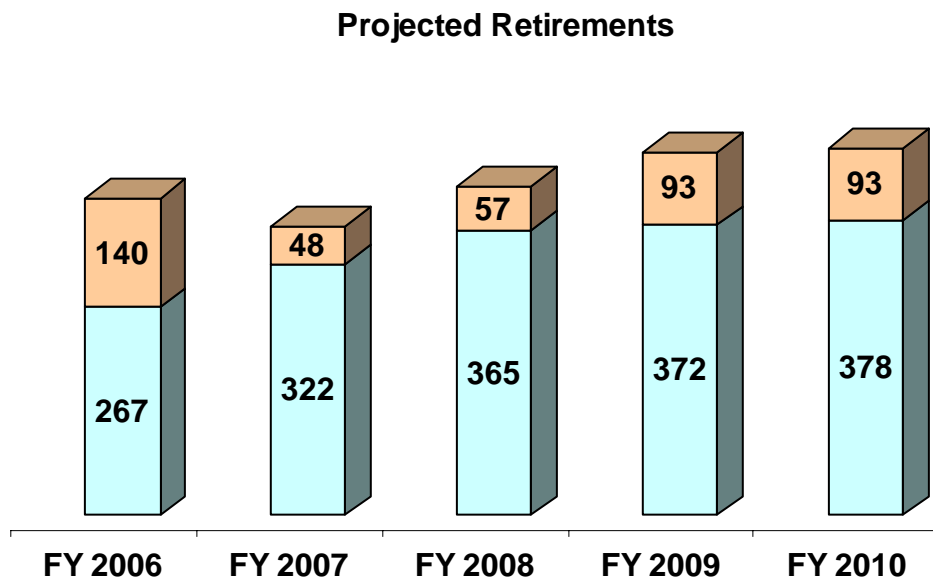|	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Probable Attrition	140	48	57	93	93
Retirement Eligibility	267	322	365	372	378

Chart 3-2: Projected Retirement Eligibility and Probable Attrition

Table 3-6: Retirement Eligibility by NNSA Functional Area, shows the NNSA retirement eligibility and the projected retirement attrition over the next five years. Statistics show that the average NNSA employee that retires is 59 years old and has three years of retirement eligibility.

Function	FY 2006		FY 2007		FY 2008		FY 2009		FY 2010	
	Eligible	Meet Probable Criteria	Eligible	Meet Probable Criteria	Eligible	Meet Probable Criteria	Eligible	Meet Probable Criteria	Eligible	Meet Probable Criteria
Directors and Prog. Mgmt.	48	18	36	6	40	9	37	10	39	7
Administration	36	16	34	2	44	5	50	7	55	14
Human Capital Management	14	1	16	4	15	1	14	2	13	5
Program and Budget Analysis	37	9	38	4	46	7	46	11	44	10
Procurement and Contracting	13	3	13	2	18	3	21	3	20	4
Financial and Accounting	9	2	10	2	12	3	16	1	19	1
Legal	11	5	9	1	9	1	10	4	9	1
Foreign Affairs and Intelligence	10	5	7	0	9	1	8	4	8	1
Public Affairs	3	1	2	0	2	1	3	1	0	0
Science and Engineering	75	42	52	8	55	10	66	12	66	14
Security	30	14	23	3	28	2	33	10	31	3
Safety and Health	46	13	47	10	46	7	51	11	56	18
Logistics	40	2	49	3	58	5	64	5	73	7
Quality Assurance	8	2	8	1	8	1	10	2	8	3
Emergency Management	18	4	19	2	21	0	25	7	20	4
Information Technology	8	3	7	0	11	1	11	3	10	1
Total	406	140	370	48	422	57	465	93	471	93

Table 3-6: Retirement Eligibility by NNSA Functional Area

The Directors and Program Management function has the highest average percentage of employees that will be eligible to retire at 26.3 percent and are projected to lose an average of 6.6 percent each year. Other groups over 20 percent include Program and Budget Analyst, Legal, Quality Assurance and Emergency Management.

Function	Avg. % Eligible Over the Next Five Years	Avg. % Projected to Retire Each Year
Directors and Prog. Mgmt.	26.3%	6.6%
Administration	17.6%	3.5%
Human Capital Management	17.6%	3.2%
Program and Budget Analysis	21.4%	4.2%
Procurement and Contracting	18.3%	3.2%
Financial and Accounting	16.7%	2.3%
Legal	24.6%	6.2%
Foreign Affairs and Intelligence	7.2%	1.9%

Function	Avg. % Eligible Over the Next Five Years	Avg. % Projected to Retire Each Year
Public Affairs	16.7%	5.0%
Science and Engineering	15.4%	4.2%
Security	15.9%	3.5%
Safety and Health	14.8%	3.6%
Logistics	14.8%	1.1%
Quality Assurance	20.5%	4.4%
Emergency Management	27.8%	4.6%
Information Technology	17.4%	3.0%
Total	17.1%	3.5%

Table 3-7: Average Percentage of Retirement Eligibility by NNSA Group and Functional Area

Supervisory Bench Strength

On September 6, 2005, of the 2477 FTEs, NSSA had 424 supervisors. This computes to a supervisor to employee ratio of 5.8 to 1. The majority of the senior supervisors (354) are in the Senior Executive Service (95), Excepted Service (62), or General Service grades GS 15 (118) and GS 14 (54). Over the past 24 months, supervisors selecting retirement, without some incentive, such as a buy out, have averaged two years and one month of eligibility. Applying the same criteria, NNSA could expect to loose 79 senior supervisors through the end of FY 2007.

The 25 retiring SES personnel occupy senior management (Director, Deputy Director, Site Manager and/or Assistant Site Manager) positions and therefore would be replaced in kind. Of the remaining 54 expected losses, 35 of the present supervisors would not have to be replaced because there are sufficient additional supervisory personnel in the same unit. These positions could be replaced with personnel in a lower grade or personnel in the same grade but not as supervisors. That includes EJ (3), EK (2), and EN (4) Excepted Service; GS-15 (20); and GS-14 (6) supervisors. *Table 3-8: Changes to the Supervisor Assignments*, indicates the areas where supervisor changes can be made as the result of attrition. Future changes to the supervisor assignments and compression of the organizations can result in further increases in the ratio.

Supervisors	Current On-Board	Expected Losses	Current Supervisory Workforce Expected Losses by Discipline					Future Supervisory Workforce Anticipated Need *(as it relates to attrition)*				
			Attorney	Scientist	Engineer	Program Manager	Other	Attorney	Scientist	Engineer	Program Manager	Other
SES	98	25		2	8	13	2		2	7	13	2
GS-15 or Equivalent												
GS-15	118	34	1	6	6	3	18		1	4	3	7
EJ	3	3			1		2.					1
EK	5	2			2							
EN	6	1			1							
GS-14 or Equivalent												
GS-14	54	9				1	8					3
EJ	10	2					2					1
EK	3	0										
EN	36	3			3							
Total	354	79	1	8	21	17	32	0	3	11	16	14

Table 3-8: Changes to the Supervisor Assignments

Gender Breakdown by NNSA Group and Functional Area

NNSA Group	FY 2004		FY 2005	
	Male	Female	Male	Female
NNSA Headquarters	61.60%	38.40%	62.0%	38.0%
NNSA Site Offices	66.20%	33.80%	67.3%	32.7%
NNSA Service Center	45.80%	54.20%	45.3%	54.7%
Naval Reactors	76.10%	23.90%	75.5%	24.5%
Office of Secure Transportation	91.30%	8.70%	90.6%	9.4%
Environmental Management Support	68.60%	31.40%	56.3%	43.8%
Function				
Directors and Program Management	74.70%	25.30%	77.6%	22.4%
Administration	32.30%	67.70%	20.9%	79.1%
Human Capital Management	49.20%	50.80%	36.6%	63.4%
Program and Budget Analysis	33.30%	66.70%	32.5%	67.5%
Procurement and Contracting	49.30%	50.70%	40.9%	59.1%
Financial and Accounting	46.60%	53.40%	51.9%	48.1%
Legal	57.90%	42.10%	61.5%	38.5%
Foreign Affairs and Intelligence	57.80%	42.20%	58.1%	41.9%
Public Affairs	45.50%	54.50%	50.0%	50.0%
Science and Engineering	85.70%	14.30%	86.5%	13.5%
Security	56.60%	43.40%	58.8%	41.2%
Safety and Health	75.00%	25.00%	81.3%	18.7%
Logistics	95.80%	4.20%	96.1%	3.9%
Quality Assurance	70.60%	29.40%	70.7%	29.3%
Emergency Management	94.20%	5.80%	85.1%	14.9%
Information Technology	64.60%	35.40%	75.9%	24.1%
Total	**67.10%**	**32.90%**	**67.03%**	**32.97%**

Table 3-9: Gender Breakdown by NNSA Group and Functional Area

Males make up the majority of NNSA Federal workforce in all of the NNSA groups except the NNSA Service Center. Although males make up 67 percent of the NNSA Federal workforce, females are well represented the following functional areas: Administration, Human Capital Management, Program and Budget Analysis, Procurement and Contracting, Financial and Accounting, and Public Affairs. Couriers constitute 83 percent of the Logistics function. There are a number of issues that have effected the recruitment of females to Courier positions. This accounts for the low percentage of females (3.9 percent) in the Logistics function.

Section 3: Workforce Analysis

Ethnicity by NNSA Group and Functional Area

NNSA Group	American Indian Alaskan Native	Asian American	African American	Hispanic	Caucasian
NNSA Headquarters	0.9%	5.6%	10.6%	6.8%	76.1%
NNSA Site Offices	2.4%	6.0%	6.8%	14.3%	70.5%
NNSA Service Center	3.5%	2.2%	7.2%	37.6%	49.5%
Naval Reactors	0.5%	1.0%	2.6%	2.6%	93.4%
Office of Secure Transportation	1.2%	1.0%	4.4%	22.2%	71.1%
NNSA Average	1.8%	3.9%	7.1%	17.1%	70.1%
Functional Area					
Directors and Program Management	0.66%	1.32%	4.61%	10.53%	82.89%
Administration	3.61%	1.20%	15.26%	24.10%	55.82%
Human Capital Management	1.22%	0.00%	12.20%	29.27%	57.32%
Program and Budget Analysis	0.51%	2.54%	13.71%	22.34%	60.91%
Procurement and Contracting	2.15%	3.23%	11.83%	31.18%	51.61%
Financial and Accounting	0.00%	2.53%	10.13%	31.65%	55.70%
Legal	5.13%	5.13%	0.00%	12.82%	76.92%
Foreign Affairs and Intelligence	0.85%	2.56%	2.56%	1.71%	92.31%
Public Affairs	8.33%	0.00%	8.33%	0.00%	83.33%
Science and Engineering	1.97%	9.58%	4.18%	12.78%	71.50%
Security	3.30%	1.65%	6.59%	19.23%	69.23%
Safety and Health	1.81%	7.53%	3.61%	10.24%	76.81%
Logistics	1.04%	1.31%	4.44%	18.54%	74.67%
Quality Assurance	0.00%	7.32%	4.88%	4.88%	82.93%
Emergency Management	0.00%	1.35%	12.16%	24.32%	62.16%
Information Technology	3.70%	3.70%	7.41%	16.67%	68.52%
Total	**1.76%**	**3.93%**	**7.14%**	**17.09%**	**70.08%**

Table 3-10: Ethnicity by NNSA Group and Functional Area

Minorities comprise 30 percent of the NNSA Federal workforce. The above NNSA average number of American Indians, Asian Americans, and Hispanic personnel at the Site Offices, Service Center, and Office of Secure Transportation, as depicted in *Table 3-10: Ethnicity by NNSA Group and Functional Area,* can be attributed to their locations.

Minorities are well represented (over 30%) in the Administration, Human Capital Management, Program and Budget Analysis, Procurement and Contracting, Financial and Accounting, Security, Emergency Management, and Information Technology functions. Minorities are under represented in the Directors and Program Management, Safety and Health, Science and Engineering, Legal, Public Affairs, Foreign Affairs and Intelligence, and Quality Assurance.

Chart 3-3: NNSA Ethnicity Comparison Profile, displays the changes in the ethnic groups that have resulted since the stand-up in FY 2003. There has been increases in American Indian (0.1 percent) and Hispanic (11.1 percent) while decreases in Asian (1.4 percent) and African-American 1.1 percent) personnel.
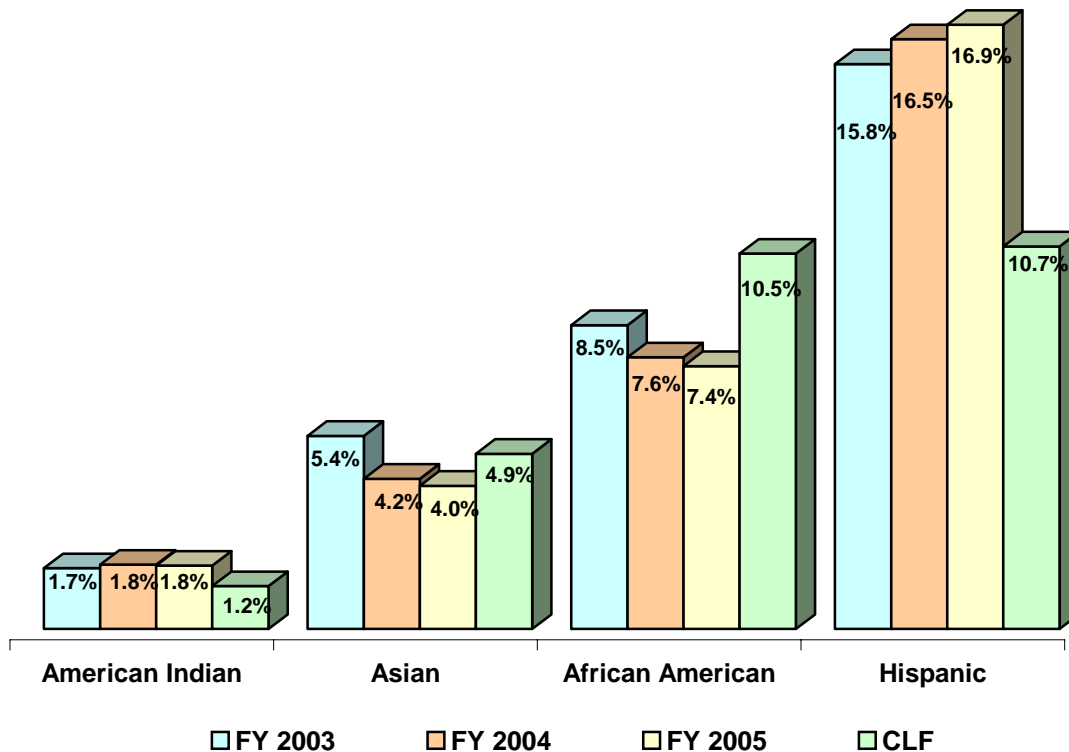
Chart 3-3: NNSA Ethnicity Comparison Profile

The above chart depicts the NNSA minority status compared to the Department of Labor's Civilian Work Force (CLF) for 2000, the Executive Branch of Government (GOV).
- The percentage of employees represented by American Indians has remained constant and exceeds the CLF.
- The percentage of employees represented by Asians has decreased and no longer meets the CLF.
- The percentage of employees represented by African Americans has continued to decrease and is under represented when compared to the CLF.
- The percentage of employees represented by Hispanics has continued to increase and well exceeds the CLF.

Promotions by Ethnicity

Chart 3-4: Percentage of Total Promotions by Ethnic Group, shows that Male and Female American-Indians and Hispanics and Female Caucasians were promoted at a higher rate than the percentage of ethnicity for their groups in FY 2005.

Percentage of Total Promotions FY 2005
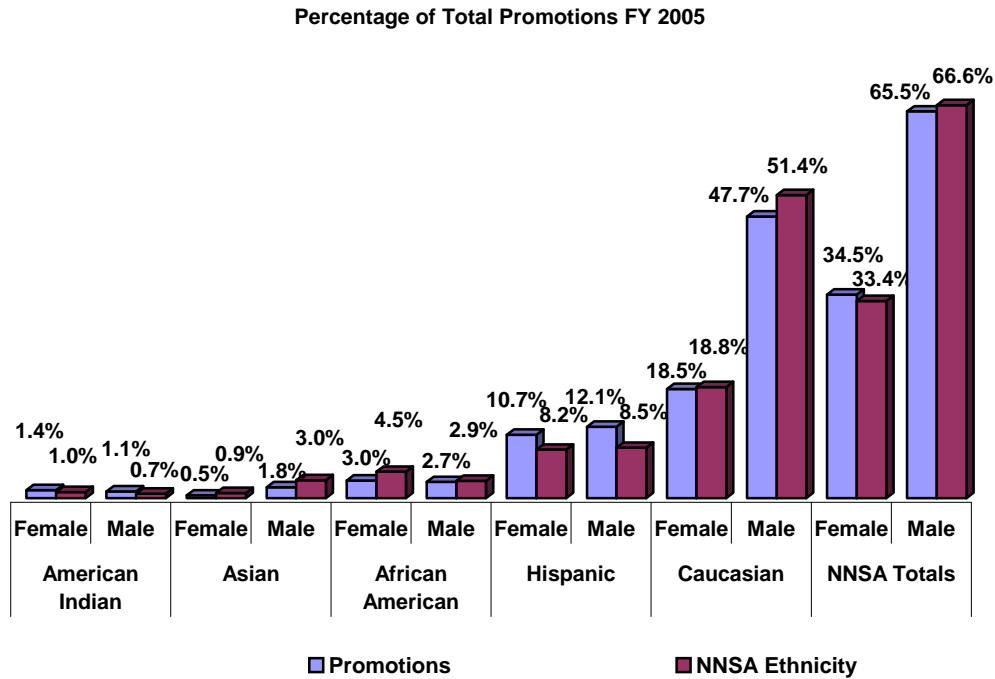
Chart 3-4: Percentage of Total Promotions by Ethnic Group

Section 3: Workforce Analysis

Personnel Claiming Disability and/or Veterans Preference by NNSA Group and Functional Area

There are 137 NNSA Federal personnel that have declared a disability and 653 that have veterans preference.

NNSA Group	Declared Disability	Veterans Preference
NNSA Headquarters	30	113
NNSA Site Offices	35	155
NNSA Service Center	45	81
Naval Reactors	6	36
Office of Secure Transportation	21	268
Functional Area		
Directors and Program Management	7	33
Administration	24	25
Human Capital Management	6	20
Program and Budget Analysis	12	26
Procurement and Contracting	8	15
Financial and Accounting	6	13
Legal	2	8
Foreign Affairs and Intelligence	6	15
Public Affairs	0	3
Science and Engineering	13	80
Security	15	54
Safety and Health	16	80
Logistics	12	206
Quality Assurance	1	17
Emergency Management	7	41
Information Technology	2	17
Functional Total	**137**	**653**

Table 3-11: Personnel Claiming Disability and/or Veterans Preference by NNSA Group and Functional Area

Highest Obtained Educational Levels by NNSA Group and Functional Area

NNSA Group	No Degree	Associate	Bachelors	Masters	Doctorate
NNSA Headquarters	19.71%	1.87%	28.49%	42.59%	7.34%
NNSA Site Offices	16.35%	2.06%	50.95%	28.41%	2.22%
NNSA Service Center	35.01%	2.41%	36.32%	23.63%	2.63%
Naval Reactors	17.86%	3.57%	45.41%	33.16%	
Office of Secure Transportation	79.56%	5.41%	10.82%	4.21%	
Functional Area					
Directors and Program Management	7.24%	1.32%	40.13%	44.74%	6.58%
Administration	67.87%	6.83%	17.27%	7.63%	0.40%
Human Capital Management	63.41%	4.88%	20.73%	10.98%	
Program and Budget Analysis	38.58%	2.54%	33.50%	23.86%	1.52%
Procurement and Contracting	16.13%	2.15%	40.86%	40.86%	
Financial and Accounting	18.99%	2.53%	56.96%	21.52%	
Legal	12.82%		46.15%	17.95%	23.08%
Foreign Affairs and Intelligence	10.26%		17.95%	65.81%	5.98%
Public Affairs	8.33%		50.00%	41.67%	
Science and Engineering	2.70%	0.25%	46.44%	45.21%	5.41%
Security	39.01%	3.85%	37.36%	19.23%	0.55%
Safety and Health	4.52%	0.60%	53.01%	36.14%	5.72%
Logistics	83.29%	4.44%	9.40%	2.87%	
Quality Assurance	26.83%	9.76%	46.34%	0.170732	
Emergency Management	48.65%	9.46%	17.57%	0.189189	5.41%
Information Technology	27.78%	3.70%	38.89%	25.93%	3.70%
Total	**33.45%**	**2.89%**	**33.57%**	**26.96%**	**3.13%**
Change in FY 2005	0.25%	0.19%	-0.53%	3.86%	-0.07%

Table 3-12: Highest Obtained Educational Levels by NNSA Group and Functional Area

Over 66 percent of the NNSA personnel have degrees or associate degrees from a university. Over 30 percent of the personnel have an advanced degree.

Grade Levels

The NNSA Federal workforce is divided into the following pay groups:

	FY 2004	FY 2005
Presidential Appointments	4	2
Senior Executive Service (SES)	88	101
DOE Organization Act Excepted Service (EJ)	37	39
National Defense Authorization Act Excepted Service (EK)	24	112
Senior Level Advisors (SL)	1	1
NNSA Authorization Act Excepted Service (EN)	292	295
Merit Pay Scheduled (GM)	59	42
General Schedule (GS)	1802	1885

Table 3-13: Pay Groups

Grade Levels by NNSA Group and Functional Area

The median level for the Federal workforce in the Merit Pay and General Schedule pay groups is at GS-13. *Table 3-14: Grade Levels by NNSA Group and Functional Area*, shows the various grade levels.

NNSA Group	Total	EX	SES	EXCEPTED SERVICE SL	EJ	EK	EN	GENERAL SCHEDULE 15	14	13	12	11
NNSA Headquarters	695	2	53		29	41	33	216	147	59	50	65
NNSA Site Offices	630		14	1	6	62	240	28	102	97	33	47
NNSA Service Center	457		8		3	8	17	41	105	114	65	96
Naval Reactors	196		26				4	39	25	30	39	33
Office of Secure Transportation	499				1	1	1	14	42	67	81	292
Functional Area												
Directors and Program Management	152	2	92		7	4	6	28	10	3		
Administration	246		2		5			11	25	31	19	153
Human Capital Management	82				1			5	12	26	21	17
Program and Budget Analysis	197				2			31	58	51	35	20
Procurement and Contracting	93							11	28	29	17	8
Financial and Accounting	79				1			8	13	28	19	10
Legal	39		3		1			14	11	3	2	5
Foreign Affairs and Intelligence	117				5			43	32	18	15	4
Public Affairs	12				2			1	4	2	3	
Science and Engineering	405		3		3	48	95	118	91	31	6	10
Security	182				3	3	11	16	48	51	34	16
Safety and Health	321		1	1	2	50	163	21	45	26	6	6
Logistics	383				1			6	22	33	54	267
Quality Assurance	41					6	12	2	3	6	11	1
Emergency Management	74				3		3	19	8	10	17	14
Information Technology	54				3	1	5	4	11	19	9	2
Total	**2477**	**2**	**101**	**1**	**39**	**112**	**295**	**338**	**421**	**366**	**268**	**533**

Table 3-14: Grade Levels by NNSA Group and Functional Area

Attrition by NNSA Group and Functional Area

NNSA had 161 FTEs, or 5.9 percent of the workforce, left the organization during FY 2005 for the following reasons: voluntary retirement (3.1 percent), buy-out (1 percent), resignation (2.3 percent), and termination (1.2 percent). There were two deaths. *Table 3-15: Attrition by NNSA Group and Functional Area,* shows the attrition numbers for each of the NNSA activities.

Functional Area	NNSA Headquarters	NNSA Site Offices	NNSA Service Center	Naval Reactors	Office of Secure Transportation	Total
Directors and Program Management	10	1	2		3	16
Administration	15	2	4	4		25
Human Capital Management			5	1	3	9
Program and Budget Analysis	10	1	4	2	2	19
Procurement and Contracting	2	1	3			6
Financial and Accounting			5	2		7
Legal	1					1
Foreign Affairs and Intelligence	8	2				10
Public Affairs						0
Science and Engineering	12	12	4			28
Security		4	3	1		8
Safety and Health	1	4	1	1		17
Logistics	1				12	13
Quality Assurance						0
Emergency Management					1	1
Information Technology	3		8			11
Total	**63**	**27**	**39**	**11**	**21**	**161**

Table 3-15: Attrition by NNSA Group and Functional Area

Gains by NNSA Group and Functional Area

Table 3-16: Gains by NNSA Group and Functional Area, shows that all of the functions added new personnel with the largest number going to the Logistics function, with 61 new couriers, the Science and Engineering function and the Administration function. The 63 personnel added to the Headquarters group includes 29 interns who are primarily in the Science and Engineering and Information Technology functions.

Functional Area	NNSA Headquarters	NNSA Site Offices	NNSA Service Center	Naval Reactors	Office of Secure Transportation	NNSA Total
Directors and Program Management	12	2		4	2	20
Administration	25	4	8	4	1	42
Human Capital Management	2		16	1	1	20
Program and Budget Analysis	11		4	1	2	18
Financial and Accounting		1	13	2		16
Procurement and Contracting	2	2	22		1	27
Legal	2		2			4
Foreign Affairs and Intelligence	15					15
Public Affairs		1				1
Science and Engineering	28	17	7	6	2	60
Security	7	7	5	4	1	24
Safety and Health	8	18	8	1		35
Logistics	1		5	2	61	69
Quality Assurance		1				1
Emergency Management	1				2	3
Information Technology	5		2	2		9
Total	**119**	**53**	**92**	**27**	**73**	**364**

Table 3-16: Gains by NNSA Group and Functional Area

The gains included 122 gains in the GS 1-11 grades, the majority of which were Couriers and Miscellaneous Clerk and Assistant personnel. Other additions included Senior Executive Service (16), Excepted Service (71), GS-15 (21), GS-14 (36), GS-13 (67), and GS-12 (33) personnel.

Over 30 percent of the new personnel were minorities and 33 percent were females. The average age of the new hires is 41.3 years old. There were 7 new hires that declared a disability and 89 had invoked veterans preference.

Skill Gaps

CRITICAL SKILL GAPS			
Critical Skill	Number of required Certifications	Number Certifications	Projected Number of Certifications by the End of FY 2006
Federal Project Management	**29**	**29**	**29**
Level 1	3	3	3
Level 2	9	9	9
Level 3	12	12	12
Level 4	5	5	5
Contract Management	**87**	**79**	**87**
Level 1	0	1	0
Level 2	18	22	18
Level 3	69	56	69
IT Management	**9**	**9**	**9**
Level 1	3	3	3
Level 2	3	3	3
Level 3	3	3	3
Technical Qualifications Program	**561**	**375**	**478**
Senior Technical Safety Manager	95	72	79
Defense Nuclear Positions Qualifications	293	194	264
Other Qualification Programs	76	39	50
Facility Representative	68	58	68
Safety System Oversight (SSO)	29	12	17

Table 3-17: Skill Gaps Analysis (A)

Table 3-17: Skill Gaps Analysis (A), shows the skill gaps that excess in the positions that require certifications. The gaps consist of those personnel that have not completed the required knowledge and skills required by the applicable certification process.

Certification	FY 2006		FY 2007		FY 2008		FY 2009		FY 2010	
	Eligible	Meet Criteria	Eligible	Meet Criteria	Eligible	Meet Criteria	Eligible	Meet Criteria	Eligible	Meet Criteria
Federal Project Directors	8	5	4	1	5	1	4	1	3	1
Contract Management	16	5	14	2	23	4	19	2	20	5
Technical Qualifications Program	77	25	71	13	73	10	79	23	77	22
Senior Technical Safety Manager	17	4	19	3	20	0	23	8	20	7
Defense Nuclear Positions Qualifications	37	13	29	6	29	6	30	10	30	6
Other Qualification Programs	15	6	13	3	15	3	17	3	17	3
Facility Representative	2	0	5	0	5	1	5	1	7	3
Safety System Oversight (SSO)	6	2	7	1	7	0	7	1	7	3
Total	178	60	162	29	177	25	184	49	181	50

Table 3-18: Skill Gaps Analysis (B)

Certification	Avg. % Eligible Each Year	Avg. % Projected to Retire Each Year
Federal Project Directors	**16.6%**	**6.2%**
Contract Management	**21.1%**	**4.1%**
Technical Qualifications Program	**15.4%**	**3.8%**
Senior Technical Safety Manager	20.0%	4.4%
Defense Nuclear Positions Qualifications	13.0%	3.4%
Other Qualification Programs	20.5%	4.8%
Facility Representative	8.6%	1.8%
Safety System Oversight (SSO)	32.4%	6.7%
Total	**29.1%**	**7.0%**

Table 3-19: Skill Gaps Analysis (C)

Mission-Critical Position Skill Gaps

Mission-critical positions comprise over 57 percent of the Federal workforce and are concentrated in nine functional areas. *Table 3-20: Mission-Critical Position Gaps,* shows that the majority of the positions are in the Science and Engineering, Safety and Health, Security, Directors and Program Management, and Foreign Affairs and Intelligence functional areas.

Function	Current Number of Positions Needing this Skill	Current Number of Positions Having this Skill	Identified Gaps
Directors and Program Management	153	152	1
Emergency Management	65	74	0
Foreign Affairs and Intelligence	117	117	0
Information Technology	54	54	0
Procurement	93	93	0
Security	183	182	1
Science and Engineering	413	405	8
Safety and Health	354	321	33
Quality Assurance	41	41	0
Total	**1473**	**1439**	**41**

Table 3-20: Mission-Critical Position Skill Gaps
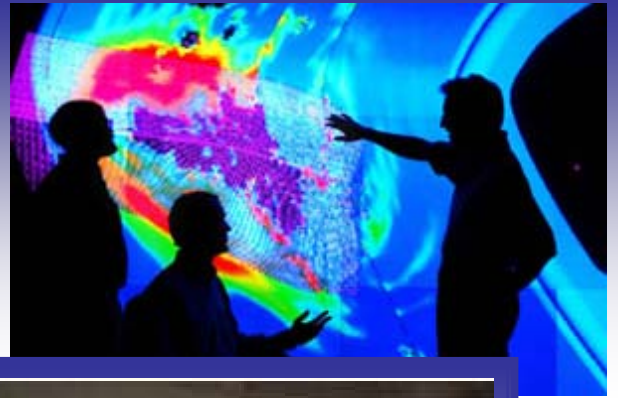
Section 4: Human Capital Strategies

Strategy 1: Strategic Alignment

> **NNSA's Human Capital strategy is aligned with our mission, core values, goals, and performance objectives and integrated into our strategic plan, performance management system, and budget process.**

Accomplishments

NNSA has been engaged in extensive workforce analysis and planning since inception. We have successfully implemented the following major initiatives some of which are detailed in subsequent sections of this document:

- Improved overall organizational efficiency and effectiveness by 1) removing a layer of management; 2) locating NNSA support and oversight closer to the laboratories and plants by strengthening Site Offices; 3) consolidating support functions into a single Service Center
- Created a corporate NNSA Human Resources program with a centralized capability to develop policy, practices and procedures, program measures and evaluation criteria and work/life activities
- Established multiple work and life programs available to eligible employees to include: childcare subsidies, access to employee assistance programs, commuting subsidies, student loan repayment program, job sharing positions, leave flexibilities, community program support, alternate work schedules, and telecommuting
- Implemented an NNSA-wide performance management system, which cascades from program objectives to SES staff and throughout the organization. It also provides a manager with a tool to reward high performers.
- Provided quarterly updates to the Department's "scorecards" for tracking PMA progress
- Tied Human Capital Management goals to NNSA goals and budget

Goal and Strategic Initiative

Goal 1.1: Continue creating "One NNSA Way" of doing business.

1.1.1 Update the NNSA Human Capital Management Strategic Plan. This is our third iteration of the Plan. It provides a central document containing Human Capital strategies, action plans, activities, and performance measures. It supports our business goals and strategies. We coordinate updates with all key managers to obtain buy-in and disseminate initiatives to all levels of the organization.

Strategy 2: Workforce Planning and Deployment

> **Agency organization is streamlined, delayered and mission-focused, uses automated systems in workforce planning and staff deployments.**

Accomplishments

Optimization of Organizational Structure

We have completed the final phase of implementing the NNSA restructuring initiative, designed to make the NNSA organization function more effectively and efficiently and make employees more accountable. We consolidated business functions to a single service center, abolished the operations offices, created site offices that are serviced by the Service Center, and rightsized headquarters staff to accomplish policy support and program management.

We issued a revised Organizational Change Policy, BOP-002.1a. The objective of this policy is to establish responsibilities, authorities and procedures for developing and implementing organizational changes and transfers of function. Refer to *Appendix C, Organizational Change Policy* for more detailed information.

Leverage Corporate Information Technology Systems

We are utilizing the following IT applications to automate our Human Capital Management efforts and HR transactions: DOE Info, DOE Jobs (*QuickHire)*, CHRIS, and the DOE Learning Management System.

Goals and Strategic Indicators

Goal 2.1: Refine NNSA-wide practice of workforce planning that enables us to effectively deploy the workforce, reduce skills gaps, and integrate Federal staffing decisions into the Planning Programming, Budgeting, and Evaluation (PPBE) process.

2.1.1 Conduct an Organizational Assessment against NNSA Organizational Policy to identify targets of excessive layering and reduce supervisory/employee ratios. Consistent with Organizational Change Policy, BOP-002.1a, NNSA will continue to look for ways to delayer the organization as we update our Managed Staffing Plans for FY 2006.

2.1.2 Design and implement a corporate staffing model integrated with the NNSA PPBE process. We have designed and are implementing a staffing model integrated with the NNSA PPBE process. We are committed to the use of Managed Staffing Plans as a tool to analyze and document the extent of recent changes in NNSA's mission-critical requirements due to the need to bolster defense nuclear security functions, emergency response capabilities, environmental cleanup tasks, and to

validate and document our remaining intransigent skills mix and skills gap problems by position.

Goal 2.2: Leverage corporate information technology systems where possible.

2.2.1 Evaluate and maximize the utilization of select corporate automated HR systems. We are focusing our near term efforts on improving the use of the HR transaction processing system and online learning management system.

Strategy 3: Talent

> **...includes efforts to identify mission-critical occupations and competencies needed in the current and future workforce and to develop recruitment and retention strategies.**

Accomplishments

We believe attracting, retaining and developing the best talent are among the most important things that we need to do as an organization. We have made progress toward reducing skill gaps through various initiatives and strived to address workforce diversity through recruiting and retention efforts.

Skill Gaps and Surpluses

As part of our continuing workforce restructuring, this upcoming year will emphasize workforce revitalization, rightsizing employee skills to job requirements (i.e., bringing into better balance our significant skills mix and skill gap problems, in part a natural outgrowth of our management reform and workforce restructuring, but also a product of changing mission priorities, emerging technology and new occupational needs, and a relatively immobile, aging workforce.)

We recognize that a key component of workforce planning is our ability to identify current and future competencies, which drive strategies to address gaps and

surpluses (i.e. recruitment, retention, training, succession planning, and other HR tools and flexibilities). Due to major organizational changes, our previous skill assessment method was to infer what gaps and surpluses exist from the employees' job classifications and position descriptions. While this method provides a general idea of the number of employees who are presumed to have certain knowledge and skill sets, it does not identify available skills by employee that are not represented in the existing class specification nor does it tell you how well the employee is performing a particular skill. Employee performance is addressed under *Strategy 5: Performance Culture*.

To address skill gap issues, NNSA in conjunction with the Department has identified a baseline of leadership and technical competencies for most of our mission-critical occupations and has elected to utilize a web-based skills-assessment tool to identify individual employee skill sets.

The online DOE/NNSA skills assessment tool facilitates our long-term commitment to sound workforce planning and the Department's "Proud to Be" short-term commitments which are to:
1) Complete employee and supervisor assessments of mission-critical occupations,
2) Reduce skill gaps for mission-critical occupations of project management, contract management, and information technology.

Since 2001, the Department has implemented numerous measures that have successfully reduced the gaps

between existing employee skills and current skill requirements. In accordance with the Deputy Secretary's direction, we have performed skill gaps assessments using the DOE online application and will be analyzing the data.

Recruiting and Retention

In partnership with the Department, NNSA leverages Federal, academic, and private sector resources and relationships across the enterprise. NNSA is utilizing a system to track milestones and critical actions associated with the hiring process for both GS and SES employees. We created a tailored program of improved selection practices in connection with hiring timeline goals. This initiative emphasized improving the manager's roles in the selection process by fostering better collaboration between selecting official and HR consultant and performing better job analysis which can result in better quality candidates for selection.

Moreover, we worked with OPM and the private Partnership For Public Service in a Federal hiring pilot program know as "Extreme Makeover." We were one of three organizations throughout the federal government that were selected to participate. Talent shortages in the scientific and technical communities pose a big problem for all job sectors, but are critical when you are responsible for the nation's nuclear programs and security. As a new organization, NNSA lacked a clear identity or "brand." Job postings intended to recruit for highly specialized jobs yielded meager results in terms of number and quality of applicants. Not only did NNSA lack a positive image as an employer, but its traditional job announcements tended to contain long,

detailed descriptions of the responsibilities of the job to be filled, but too little about the attractiveness of NNSA as an employer.

To fix the problem, the makeover team focused on better marketing through well-crafted job announcements and an eye-catching ad campaign. The new posting started off with a description of why NNSA is a great place to work, with a user-friendly, navigable format using simpler language. The web-based posting also included photos of the unique work environment at NNSA that would better appeal to the scientists and engineers it sought. The photos and some of the language developed for the posting were subsequently used as the basis for a print ad touting NNSA as an employer of choice. The results were dramatic.

NNSA took that branding and incorporated it into recruiting for our Future Leaders program. With great messages and materials in hand, NNSA recruiters hired a new class of approximately 30 graduates who will develop their skills through a special series of training and job assignments. Beyond the exciting career challenges and development, the graduates received a full range of flexibilities to entice them to come — student loan repayments, signing bonuses, relocation assistance and more.

Diversity

The Office of Diversity and Outreach champions efforts to address workforce diversity issues. We strive to be an organization that embraces diversity and values trust, respect, and fair treatment of each individual with regard to differences. Due to major restructuring, we are in the process of evaluating and adjusting our recruiting efforts at colleges, universities, job fairs, conferences, and forums that are targeted towards underrepresented groups in mission-critical occupations.

The NNSA Future Leaders Internship Program targets underrepresented groups. The Office of Diversity and Outreach partners with the DOE Office of Economic Impact and Diversity (ED) to support minority students who are studying in academic disciplines that are related to the DOE/NNSA mission. NNSA participates in the Department's Summer Diversity Partnership Program (SDPP), which emphasizes recruitment from three types of educational institutions – Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), and Tribal Colleges and Universities (TCUs).

In 2005, Congress approved a $22.5 million budget to start the NNSA's HBCUs Scientific and Technical Program. The HBCU Awards program is administered by the Office of Diversity and Outreach and executed by NNSA line program offices. The programs are designed to be long term and sustainable and support Math, Science, and Science Education through NNSA's cutting edge scientific work in support of the nation's national security mission. Specifically, the HBCU

programs will support faculty and infrastructure development; promote internships for students at DOE and our national laboratories; and, foster faculty exchange programs at the national laboratories to enhance faculty research capabilities.

Goals and Strategic Indicators

Goal 3.1: NNSA determines the competencies it needs and the workforce is concentrated in those competencies.

3.1.1 Perform mission-critical competency assessments. We have completed our initial skills assessments. We will be analyzing the data to determine the current and future workforce competency gaps, which will address and provide a basis for mitigating any identified future skills gaps.

Goal 3.2: NNSA continues to acquire and retain mission-critical talent by facilitating improvement to NNSA's recruitment initiatives and activities.

3.2.1 Expand recruiting and retention strategies. The basis for future recruiting and retention strategies will be: 1) workforce analysis 2) targeting critical and difficult to fill positions 3) offering competitive recruitment and relocation bonuses and creative compensation packages. We will focus on creating specialized recruitment packages for hard to fill mission-critical positions.

3.2.2 Develop standard entrance and exit surveys. We are developing entrance surveys as proactive means of identifying retention issues before

potentially loosing valuable employees. NNSA will be assessing exit interview surveys used in the field to determine the "best practice" for use and to enable the collection of consistent retention data.

Goal 3.3: Foster and integrate leadership that values diversity throughout NNSA.

3.3.1 Implement NNSA Diversity Council Charter approved by NNSA Administrator. The Diversity Council Charter was approved by the Administrator. The Diversity Council has been designed to increase and sustain the diversity of our workforce; including leadership to better reflect the diversity of the population. The Council promotes a diverse, inclusive work environment that encourages creativity, and is respectful of individual employees to reach their full potential.

3.3.2 Implement Program Plan for enhanced Historically Black Colleges and Universities (HBCU) participation. We plan to continue to establish partnership agreements by which the HBCUs are provided assistance, curriculum development, and exchange of staff resources. The goal of the partnerships is to forge a better, ongoing relationship with each HBCU.

3.3.3 Develop and disseminate Diversity policies and procedures. The Office of Diversity and Outreach achieves its goal of maintaining policies and practices by establishing and developing NNSA policy letters and practices and monitoring and tracking diversity efforts.

3.3.4 Develop and conduct a climate assessment and organizational culture audit. We conducted an annual climate assessment and organizational culture audit.

Strategy 4: Leadership and Knowledge Management

> **…includes succession planning and leadership development programs…**

Accomplishments

Leadership and Succession Planning

In response to the projected retiring workforce, we are refining our strategic approach to succession planning. While succession planning can serve as a framework for linking training and developmental plans to future organizational needs, it can also be used to meet other organizational objectives, such as diversity. We have been leveraging the various Succession Planning Programs described below.

Learning

Our learning and development framework is based on managers and supervisors matching organizational needs with individual career development needs when making decisions about learning and development activities. As the online skills-self assessment tool is utilized, competency and projected future turnover data will assist managers and supervisors in assessing training needs in their own organizations and develop organizational level training plans.

We promote an environment of continuous learning. The availability of training and development opportunities motivate quality employees. Linking training plans to defined future potential promotion opportunities provides incentives for employees.

Depending on an employee's career path, they may participate in one or more of the following developmental programs, which have been developed for our most critical mission-critical skill areas:

- The Project Management Career Development Program (PMCDP) is a Department-wide training program that establishes competency-based training and certification for Federal Project Directors. Twenty-nine Project Directors have been certified as of this writing and all incumbent Project Directors have until May 31, 2006 to complete the certification process.
- Department-wide IT Project Management standards for certification have been developed.
- NNSA has customized the Acquisition Career Development Program originally created by the Department of Defense in 1998. The intent of the program was to provide continuity of effective acquisition management and support of customers through adoption of DOE certification standards combined with NNSA supplemental guidance and course requirements to broaden the skills and experience base of the NNSA workforce. The NNSA experience base will provide the foundation for the NNSA Acquisition Workforce to develop future strength in Supply Chain Management.
- The appointment of Contracting Officer's Representatives (COR) for Management and Operating (M&O) contracts has been established and has specific requirements for

nomination, appointment including certification, and termination of COR for the oversight and management of NNSA M&O contracts. NNSA policy letter BOP-003.0302, dated January 10, 2003, provides detailed information and was issued to supplement DOE O 541.1A.

- The Safeguards and Security Training Safeguards and Security Professional Development Program is a program administered by the Nonproliferation and National Security Institute.

Senior Executive Service Candidate Program

NNSA has been leveraging the Department's Senior Executive Service (SES) Candidate Development Program. This competitive program includes core training, departmental activities, and unique assignments that will achieve our objective for building leaders who are ready to assume key leadership positions.

Supervisory and Managerial Training Programs

Various supervisory and managerial training programs are available internally through instructor-led classes, Energy Online learning, etc. and externally through the United States Department of Agriculture, the Federal Executive Institute, University programs, etc.

Internship Programs

NNSA has recruited our first class in the Future Leaders Program. We are currently lining up mentors for this program.

Additionally, we have been participating in the following internship programs since-stand-up:

- The Career Intern Program (CIP) - the Department's CIP has been expanded to include non-technical occupations. This agency-wide, two-year, entry-level hiring and developmental program maximizes the use of hiring authorities and pay flexibilities to attract and retain highly qualified and diverse technical, scientific, and business personnel.
- The SDPP – the Department's SDPP internship program provides opportunities to students and encourages them to consider future employment with the Federal Government upon graduation.
- The NNSA Office of Defense Nuclear Nonproliferation's association with Pacific Northwest National Laboratory Internship Program
- The NNSA Office of Naval Reactor's association with the Department's undergraduate Laboratory Internship Program

Mentoring Programs

In addition to the mentors identified in the various internship programs, NNSA participates in the Department's 12-month Mentoring Program, which provides a series of developmental experiences. The program places GS level employees with SES mentors. NNSA has customized the program and incorporated lessons learned from a NNSA site-specific mentoring program. We are looking to expand the program to other

locations as part of our Knowledge Management initiatives.

Knowledge Management

We continue to roll out a Knowledge Management (KM) culture initiative to 1) support succession planning initiatives; 2) capture as much of the valuable knowledge base of the retiring workforce as practical; 3) build a culture that supports knowledge sharing and addresses cultural challenges so that knowledge holders do not become knowledge hoarding gatekeepers; and 4) share information more quickly and conveniently. We have completed two queries to determine how mission critical knowledge is identified, captured, and shared throughout the enterprise. Select methods include:

- Training and information broadcasts conducted via satellite downlinks to a distributed audience
- Broadcasting information via email (i.e., NNSA Intranet, NNSACAST, Diversity Newsletters, and LINTGRAMS)
- Posting information on the internet and intranet sites to include policies, procedures, training, announcements, organizational charts, job vacancies, lessons learned, etc.
- Posting and sharing files on the LAN
- Methodical electronic filing, retrieval, storage, and archiving mission-critical classified and unclassified records in accordance with National Archives and Records Administration requirements
- Informal and formal site specific mentoring programs

We are committed to establishing a KM culture by developing and expanding

upon existing "records and information management practices, individual knowledge and information sharing practices, lessons learned programs, documentation of work processes and procedures, and future mentoring that fosters the transfer of knowledge from mentors to mentees."

Goals and Strategic Indicators

Goal 4.1: NNSA invests in training and development opportunities.

4.1.1 Analyze and expand existing training and tie to career ladders/paths. As mission-critical changes occur, NNSA will continue to develop additional career paths, ladders, associated training tracks, and/or development opportunities.

4.1.2 Revise and implement HR Consultant and Manager training. We developed and piloted HR skills training. In context of OPM's 45-day hiring model, this is the right time to assess our HR skill needs and to provide an upgrade of as needed in certain bedrock Federal civil service personnel programs and disciplines. Skills relating to automating position classification systems, position management, job analysis, crediting plan development, the development of automated rating and ranking tools, and delegated examining are the focus of this training.

Goal 4.2: Expand and develop a leadership succession and knowledge management framework by increasing participation in leadership development programs.

4.2.1 Develop a succession-planning framework. We are evaluating past succession planning efforts and building a new succession-planning framework. Refer to *Appendix D, Draft Succession Plan.*

4.2.2 Reassess leadership bench strength targets. We performed an assessment of leadership bench strength and establish new targets for FY 2006.

4.2.3 Expand the NNSA Mentoring Program. We are working in conjunction with the Service Center Training and Development Division to establish an NNSA Mentoring Program as part of a KM story telling effort. This program potentially could be used as a replacement for, or complement to, the DOE mentoring program, which is strongly Headquarters focused.

4.2.4 Implement the NNSA Future Leaders Internship program covering specialized and critical occupations. NNSA has designed and developed a Future Leaders Internship Program. A Future Leaders Program Guide has been drafted. The following training programs are being developed for the Future Leaders Program participants:
- Orientation Program
- Core Training in writing, briefing techniques, law, budget, diversity
- Functional Curricula
- Technical including Facility Representative track
- Information Technology (coordination with Business Managers Council)
- Business Specialists (coordination with Business Managers Council)

- Rotational Assignments (one at field site, one at another appropriate organization).

4.2.5 Develop guidance, policies, and procedures for executive mobility and rotational assignments. Mobility across program units is invaluable to the organization and is attractive to the employee. We plan to develop a mobility plan; additional rotational assignments; and policies, procedures, and guidance associated with both as applicable.

4.2.6 Enhance marketing of career development training and opportunities for advancement. We will look for additional avenues for marketing career development programs internally and externally to enhance our ability to recruit and retain talent.

Goal 4.3: NNSA encourages the capture and exchange of knowledge.

4.3.1 Create and implement KM culture initiative. We have benchmarked best KM practices and performance measures. The results of both the benchmarking study and internal KM culture queries are being used as the basis for enhancing our current KM initiatives. We have participated in the DOE portal training. We plan to update and provide the requested KM directories, list of KM efforts currently in place, and performance indicators. We developed and presented KM overview presentations to disseminate NNSA efforts. A draft NNSA-wide awards policy has been formulated to include recognition for KM efforts. We identified and recognized several groups for their KM best practices.

Strategy 5: Performance Culture

Create a diverse performance oriented culture with a performance management system that effectively rewards high performance, and links performance to organizational goals and desired results...

Accomplishments

NNSA is committed to fostering a performance-oriented culture that motivates and rewards its workforce for high performance and ensures employees are focused on achieving results.

Performance Management

We have begun laying the foundation for implementing the next performance cycle for NNSA employees. The performance plan cycle runs concurrently with the fiscal year. We expect to renew emphasis on the use of Individual Development Plans as personal, organizational, and corporate planning tools. This will be our second appraisal cycle under the New Performance Management and Recognition Program. Linking performance to NNSA mission, goals, and objectives is critical in developing employee performance plans. The Department's SES system requires linkage and so does our system. Specific Performance Objectives are developed which cascade from strategic plans and organizational goals. The measures are objective, measurable, realistic, and stated clearly in writing. In addition to measuring goals and objectives critical to the NNSA mission, we have cascaded requirements mandated by the PMA in the Employee and Managerial Attributes. These measure assess performance in areas such as budget and human resources management.

Our system is a tool for managers that, when used as intended, can help meet individual and organizational areas that require attention and development. If we are not meeting requirements in certain areas, the assessment of employee performance should help identify areas where an action plan is needed to provide the opportunity for improvement.

To promote fair and equitable resolution to workplace issues, we established an Ombuds program. We currently have 12 volunteer Ombuds who provide a confidential, impartial, independent and informal resource that facilitates fair and equitable resolutions to workplace concerns. They help eliminate friction in the workplace before it reaches the stage of requiring more formal intervention. They operate on two fundamental principles: confidentiality and impartiality.

Goals and Strategic Indicators

Goal 5.1: Assess and refine the performance management system to highly effectively reward high performance that continues to link mission and goals to standards for 100% of the employees.

5.1.1 Continue to link performance management system to organizational mission, goals, and individual performance. We will ensure that our performance appraisals for executives and managers link to DOE and NNSA mission and goals and are cascaded through the workforce.

5.1.2 Evaluate awards and recognition programs to ensure high performers are receiving the highest awards/recognition. We will continue to evaluate the effectiveness of existing programs and determine ways to provide additional incentives and recognition.

5.1.3 Conduct training on dealing with poor performing employees.
Performance Management/Employee Relations Training: training sessions were scheduled for Headquarters managers August 29-31, 2005, on changes to the performance management system, conduct of appraisals, dealing with performance and behavioral problems, and the overall process in general.
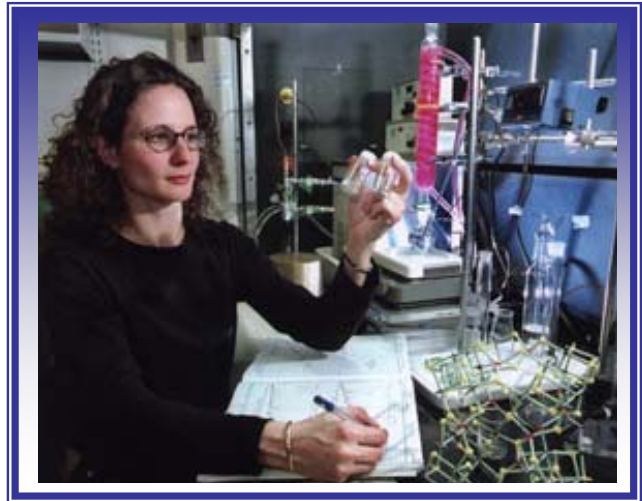
Strategy 6: Accountability

> **When developing our performance measures we have taken into consideration OPM's Human Capital Standards for Success and the strategies required to implement those measures.**

Accomplishments

This Plan includes high-level performance measures associated with each strategy described in the previous sections of this document. Most of the performance measures provided in this document correspond to the budget process evaluation measures.

When developing our performance measures we have taken into consideration OPM's Human Capital Standards for Success and the strategies required to implement those measures.

Goals and Strategic Indicators

Performance measures associated with the previous strategies outlined in this Plan have been included in *Appendix A, Action Plans*. Additionally, if applicable, we will develop a corrective improvement action plans based upon results of joint DOE/OPM accountability reviews.

Appendix A

OMB Green Scorecard	DOE Internal PMA Scorecard	OPM/NNSA Human Capital Component	NNSA Goals	NNSA Action Plan
Implemented a comprehensive Human Capital Plan that is fully integrated with the agency's overall strategic plan, analyzes the results relative to the plan, and uses them in decision making to drive continuous improvement;	Integrate HCM into decision-making processes - Plan linked to DOE mission, strategy, and goals - Designates accountable officials	1.0 Strategic Alignment	1.1 Continue collaborating with the Department to leverage corporate resources	A-1 Strategic Alignment
Analyzed existing organizational structures from service and cost perspectives and is implementing a plan to optimize them using redeployment, restructuring, competitive sourcing, E-Gov solutions and delayering, as necessary, and has process(es) in place to address future changes in business needs;	Analyze and optimize organizational structure for service and cost - Use redeployment and delayering as necessary - Integrate competitive sourcing and e-gov solutions - Put processes in place to address future needs for change	2.0 Workforce Planning and Deployment	2.1 Refine NNSA-wide practice of conducting workforce planning that enables us to actively deploy the workforce, reduce skills, and integrate Federal staffing decisions into the PPBE process 2.2 Leverage corporate information technology systems where possible	A-2 Workforce Planning and Deployment
➥ Meets targets for closing competency gaps in mission critical occupations, and integrates appropriate competitive sourcing and E-Gov solutions into gap closure strategy; ➥ Is on track to meet its planned aggressive hiring timeline goals and hiring process improvements; ➥ Reduce under representation, particularly in mission-critical	➥ Significantly reduce skill gaps in mission-critical occupations - identify mission critical skills, needs, no. available, and gaps - address certification needs by level for project managers,	3.0 Talent	3.1 NNSA determines the competencies it needs and the workforce is concentrated in those competencies	A-3 Mission-Critical Competencies A-4 Recruitment and Retention

OMB Green Scorecard	DOE Internal PMA Scorecard	OPM/NNSA Human Capital Component	NNSA Goals	NNSA Action Plan
occupations and leadership ranks; established process to sustain diversity	contract, and information technology managers - develop strategies to create a workplace that attracts talent - integrate the results of competitive sourcing and e-gov ➤ Demonstrate improvement in meeting hiring-time goals - have auditable system for collecting & analyzing hiring data ➤ Implement strategies to address under-representation of minorities - particularly in mission-critical occupations & leadership - establish processes to improve and sustain diversity		3.2 NNSA continues to acquire and retain mission-critical talent by facilitating improvements to NNSA's recruitment initiatives and activities 3.3 Foster and integrate diversity throughout the organization	A-5 Diversity
Succession strategies, including structured executive development programs, result in a leadership talent pool and agency meets its targets for closing leadership	➤ Implement succession strategies - include executive development programs	4.0 Leadership and KM	4.1 Expand, design, and develop a leadership succession and KM framework by	A-6 Succession Planning and Leadership Development

OMB Green Scorecard	DOE Internal PMA Scorecard	OPM/NNSA Human Capital Component	NNSA Goals	NNSA Action Plan
competency gaps;	- result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge ♦ Link KM effort to DOE portal		increasing participation in leadership development programs 4.2 NNSA invests in training and development opportunities 4.3 NNSA encourages the capture and exchange of knowledge	A-7 Employee Development A-8 KM
♦ Demonstrates that it has fair, credible, and transparent performance appraisal plans and awards programs for all SES and managers, and more than 60% of the workforce, that adhere to merit system principles (efficient, effective, and compliant); hold supervisors accountable for the performance management of subordinates as reflected in their performance plans and ratings; include employee involvement and feedback; and result in employee ratings that differentiate between various levels of performance and employees getting higher cash awards and/or recognition than those they outperform. The agency is working to include all agency employees under such systems;	♦ Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of workforce - differentiate between various levels of performance - provide consequences based on performance	5.0 Performance Culture	5.1 Assess and refine the performance management system to effectively reward high performance that continues to link mission and goals to standards for 100% of employees	A-9 Performance Management

OMB Green Scorecard	DOE Internal PMA Scorecard	OPM/NNSA Human Capital Component	NNSA Goals	NNSA Action Plan
Periodically conducts accountability reviews with OPM participation, taking corrective and improvement action based on findings and results, and providing annual report to agency leadership and OPM for review and approval	Use outcome measures to make HC decisions - link HCM Plan to Program Plan(s) and FY07 Budget	6.0. Accountability	Performance Measures are associated with each action plan. Additionally, if applicable, we will develop a corrective improvement action plan based upon results of joint DOE/OPM accountability reviews.	Performance Measures are associated with each action plan.

Figure A-1: Human Capital Management Scorecard Linkages

Appendix A: Action Plans

Each action plan contains a set of strategies, activities, and performance measures that are described and linked together. Detailed project plans are developed, revised, tracked, and maintained by the respective action plan owner. Q4 activities completed are highlighted in **pale blue.**

Strategy 1: Strategic Alignment – NNSA's Human Capital strategy is aligned with our mission, core values, goals, and performance objectives and integrated into our strategic plan, performance management system, and budget process.			
Goal	**Activities**	**Timeline**	**Progress**
1.1 Continue creating "One NNSA Way" of doing business	1.1.1 Update NNSA Human Capital Management Strategic Plan and coordinate updates with all key managers	Quarterly, Annually	Ongoing
Performance Measure			
Human Capital Management Planning		**Accomplishments**	
Update NNSA Human Capital Management Strategic Plan		Plan updated and submitted	

Table A-1: Strategic Alignment Action Plan

Strategy 2: Workforce Planning and Deployment – Agency organization is streamlined, delayered and mission-focused, uses automated systems in workforce planning and staff deployments.			
Goal	**Activities - Optimization of the Organization**	**Timeline**	**Progress**
2.1 Refine NNSA-wide practice of workforce planning that enables us to effectively deploy the workforce, reduce skills gaps, and integrate Federal staffing decisions into the PPBE process	2.1.1 Conduct an organizational assessment against NNSA Organization Policy to identify targets of excessive layering and reduce supervisory/employee ratios	Q4FY2005 Ongoing	Ongoing
	2.1.2 Design and implement a corporate staffing model integrated with the NNSA PPBE process	FY2005 Ongoing	
	2.1.2.1 Hold NNSA Staffing Summit	Q2FY2006	
	2.1.2.2 Develop and implement a staffing position control system (Managed Staffing Plans) to support the workforce planning/staffing model	Ongoing	
2.2 Leverage corporate information technology systems where possible	2.2.1 Evaluate and maximize the utilization of select corporate automated HR systems	Ongoing	

Performance Measures		
Restructuring Improvements	**Accomplishments**	
Average number of NNSA Federal employees equals 2,600 by the end of FY2005	2,493 FTEs	
Reduce the number of management and management layers by increasing the Supervisor to Employee Ratio year over year	Q4FY2004 4.6 to 1	Q4FY2005 5.8 to 1

Strategy 2: Workforce Planning and Deployment – Agency organization is streamlined, delayered and mission-focused, uses automated systems in workforce planning and staff deployments.	
Performance Measures	
Restructuring Improvements	**Accomplishments**
Document data on cost savings associated with optimizing organizational structure changes	Reengineering of the NNSA Federal staff resulted in 250 fewer positions at the consolidated Service Center than previously employed at the NNSA Operations Offices (Oakland, Nevada, and Albuquerque). This reduction in staff resulted in an annual payroll savings of over $25 million

Table A-2: Workforce Planning and Deployment Action Plan

Strategy 3: Talent – efforts to identify mission-critical occupations and competencies needed in the current and future workforce and to develop recruitment and retention strategies			
Goal	**Activities**	**Timeline**	**Progress**
3.1 NNSA determines the competencies it needs and the workforce is concentrated in those competencies	3.1.1 Perform mission-critical competency assessments	Ongoing	Ongoing
	3.1.1.1 Complete management competency assessment	Q4FY2005	Complete
	3.1.1.2 Complete IT personnel skills gaps assessment	Q4FY2005	Complete
	3.1.1.3 Finalize the baseline for the closure of skills gaps for mission-critical areas, including management competencies for SES and GS managers and supervisors	Q4FY2005	Complete
	3.1.1.4 Integrate online skills-assessment data into workforce planning and analysis capability	Q4FY2006	
Performance Measure			
Mission-Critical Competencies		**Accomplishments**	
Document results in the achievement of skill gap reductions for mission-critical areas including SES and GS managers and supervisors, as stated in targets defined in Q4FY2005 baseline provided in skills gaps update		Refer to Quarterly Update(s) and *Section 3.0: Workforce Analysis*	

Table A-3: Mission-Critical Competencies Action Plan

Strategy 3: Talent – efforts to identify mission-critical occupations and competencies needed in the current and future workforce and to develop recruitment and retention strategies			
Goal	**Activities – Recruiting and Retention**	**Timeline**	**Progress**
3.2 NNSA continues to acquire and retain mission-critical talent by facilitating improvement to NNSA's recruitment initiatives and activities	3.2.1 Expand recruiting and retention strategies	Ongoing	Ongoing
	3.2.1.1 Participate on DOE/NNSA Corporate Recruitment Council	Q3FY2004	Ongoing
	3.2.1.2 Leverage, maintain, and expand existing relationships with academia, Federal agencies, and private industry to enhance recruitment efforts	Ongoing	Ongoing
	3.2.1.3 Initiate implementation of the Entry-Level and Mid- to Senior Level recruitment models	Q4FY2005	Ongoing
	3.2.2 Develop standard entrance and exit interview surveys	Q4FY2005 Ongoing	Ongoing
Performance Measures			
Hiring Model(s)			**Accomplishments**
Document continued success in meeting the 45 day hiring model for non-SES hiring and year-over year progress in meeting the 30 day SES hiring model			91% of the GS hires met the 45-day hiring model from October 1, 2005 through September 27, 2005

Table A-4: Recruitment and Retention Action Plan

Strategy 3: Talent – efforts to identify mission-critical occupations and competencies needed in the current and future workforce and to develop recruitment and retention strategies			
Goal	**Activities - Diversity**	**Timeline**	**Progress**
3.3 Foster and integrate leadership that values diversity throughout NNSA	3.3.1 Implement NNSA Diversity Council Charter approved by NNSA Administrator	Ongoing	Completed Charter signed August 2004
	3.3.2 Implement Program Plan for enhanced HBCU participation	Q2FY2005 Ongoing	Completed
	3.3.3 Develop and disseminate Diversity policies and procedures	Q4FY2005 Ongoing	5 Policy Statements developed and coordinated with DOE
	3.3.4 Develop and conduct a climate assessment and organizational culture audit	Q4FY2005	NA-60 conducted employee assessment
Performance Measures			
Integrating Diversity in Plan		**Accomplishments**	
Percentage of required Diversity policies and procedures complete ➔ 50% by the end of FY2005 ➔ 100% by the end of FY2006		Policy statements for FY 2005 have been developed and coordinated; two disseminated by September 30, 2005	

Strategy 3: Talent – efforts to identify mission-critical occupations and competencies needed in the current and future workforce and to develop recruitment and retention strategies	
Performance Measures	
Integrating Diversity in Plan	**Accomplishments**
Baseline percentage of employee responses and effectiveness of overall education and training Note: EEO training conducted for all NNSA Managers and Supervisors at Headquarters, Service Center, and Site Offices	98% of respondents were satisfied
Baseline number of HBCU institutions participating in NNSA efforts by FY2005	33 of 105 HBCU institutions participated

Table A-5: Diversity Management Action Plan

Strategy 4: Leadership and Knowledge Management – succession planning and leadership development programs			
Goal	**Activities – Employee Development**	**Timeline**	**Progress**
4.1 NNSA invests in training and development opportunities	4.1.1 Analyze and expand existing training and tie to career ladders/paths (i.e., technical, administrative, HR)	Ongoing	Ongoing
	4.1.1.1 Develop and implement Appointment of Contracting Officer's Representatives for NNSA Management and Operating Contracts Policy	Q2FY2003	Complete Ongoing
	4.1.1.2 Customize and implement Acquisition Management Career Development Policy and Program	Q3FY2004	Complete Ongoing
	4.1.1.3 Customize and implement Program Management Career Development Policy and Program	Q4FY2004	Complete Ongoing
	4.1.2 Revise and implement HR Skills Training for HR Consultants and Managers	FY2006	
Performance Measures			
Employee Development – Skills Gaps Reduction		**Accomplishments**	
Number of Procurement Professionals who have obtained Acquisition Certification		Number certified: • Level 1: 1 • Level 2: 22 • Level 3: 56	
Number of PMCDP Certification Review Board certified Federal Project Directors by level Note: All incumbent Federal Project Directors must be certified by May 31, 2006. This list identifies most recent level of certification attained as issued by DOE/NNSA (i.e., Level I, II, III, or IV). Federal Project Directors can attain successive levels of certification. As of this writing there are currently 29 Federal Project Directors. Numbers are subject to change due to changing requirements and do not include IT Project Manager certifications.		Number certified by level: • Level 1: 3 • Level 2: 9 • Level 3: 12 • Level 4: 5	

Strategy 4: Leadership and Knowledge Management – succession planning and leadership development programs	
Performance Measures	
Employee Development – Skill Gap Reduction	**Accomplishments**
Number of qualified IT Federal Project Managers/Directors	Number certified: • Level 1: 3 • Level 2: 3 • Level 3: 3
80% enrolled in Technical Qualifications Program certified by the end of FY2006	

Table A-6: Employee Development Action Plan

Strategy 4: Leadership and Knowledge Management – succession planning and leadership development programs			
Goal	**Activities – Succession Planning and Leadership Development**	**Timeline**	**Progress**
4.2 Expand and develop a leadership succession and knowledge management framework by increasing participation in leadership development programs	4.2.1 Develop a succession planning framework	Q1FY2005	Ongoing
	4.2.2 Reassess leadership bench strength targets	Q3FY2005 Ongoing	Ongoing
	4.2.3 Expand the NNSA Mentoring program	Q3FY2005 Ongoing	Ongoing
	4.2.4 Implement an NNSA Future Leaders Internship program covering specialized and critical occupations	Q4FY2005	Ongoing
	4.2.5 Develop guidance, policies, and procedures for executive mobility and rotational assignments	FY2006	
	4.2.6 Enhance marketing of career development training and opportunities for advancement	Ongoing	
Performance Measures			
Succession Planning and Leadership Development		**Accomplishments**	
Number of DOE SES Career Development FY 2006/2007 Program participants			
Number of estimated interns on NNSA roles: ➜ 20 by end of FY2005 ➜ 20 by end of FY2006		29 interns onboard Q4FY2005	
Annual (FY2006) number of NNSA promotions (GS-13, 14, 15, EX, EJ, EK, EN, and ES)			
Annual (FY2006) number of leadership and mentoring program participants			

Table A-7: Succession Planning and Leadership Development Action Plan

Strategy 4: Leadership and Knowledge Management – succession planning and leadership development programs			
Action Plan	**Activities – Knowledge Management**	**Timeline**	**Progress**
Goal 4.3: NNSA encourages the capture and exchange of knowledge	4.3.1 Create and implement a KM culture initiative	Ongoing	Ongoing
	4.3.1.1 Participate on the DOE Knowledge Management Working Group	Q4FY2003 Ongoing	Ongoing
	4.3.1.2 Develop and deploy survey of KM initiatives	Annually	Ongoing
	4.3.1.3 Develop KM initiative plan and disseminate to the field	Q3FY2004	Complete
	4.3.1.4 Initiate KM benchmarking study of private sector and Federal Agency best practices including performance measures	Q4FY2004	Complete
	4.3.1.5 Design pilot culture initiative, awards, rewards, performance measures, and recognition strategies	Q2FY2005	Recognition and awards complete becoming part of NNSA performance plan
	4.3.1.6 Market/launch KM initiative throughout the organization until the entire organization is aware of the KM value proposition	Q3FY2005	
	4.3.1.7 Participate in employee feedback survey on KM portal	Q1FY2006	
	4.3.1.8 Publish revised KM directories on DOE Portal	Q2FY2006	

Table A-8: Knowledge Management Action Plan

Strategy 5: Performance Culture – create a performance oriented culture with a performance management system that effectively rewards high performance, and links performance to organizational goals and desired results			
Goal	**Activities – Performance Management**	**Timeline**	**Progress**
5.1 Assess and refine the performance management system to highly effectively reward high performance that continues to link mission and goals to standards for 100% of the employees	5.1.1 Continue to link the performance management system to organizational mission, goals, and individual performance	Ongoing	Ongoing
	5.1.2 Evaluate awards and recognition programs to ensure high performers are receiving the highest awards/recognition	Q2FY2006	
	5.1.3 Conduct training on dealing with poor performing employees	Q4FY2006 Ongoing	
Performance Measures			
Performance Management		**Accomplishments**	
60% of performance appraisals for SES and managers link to DOE and NNSA mission and goals and are cascaded through the workforce		100% of performance appraisals are linked to DOE and NNSA mission and goals	

Table A-9: Performance Management Action Plan

Appendix B

NNSA Strategic Plan

Create a well-managed, inclusive, responsive, and accountable organization through the strategic management of human capital; enhanced cost-effective utilization of information technology; and greater integration of budget and performance data

PPBE

Procurement

CIO

Business Operations

Human Resources and Diversity and Outreach

PMA

NNSA Budget/ FYNSP

Strategies

Strategy 1: Strategic Alignment	Strategy 2: Workforce Planning & Deployment	Strategy 3: Talent	Strategy 4: Leadership & Knowledge Management	Strategy 5: Performance Culture	Strategy 6: Accountability

Actions and Milestones

Performance Measures

Results

Figure B-1: Human Capital Management Budget Cascade

NNSA has integrated most planning and reporting documents with linkages to this Plan vis-a-vis staffing requirements and/or provision. Figure 1-1, *Human Capital Management Budget Cascade*, demonstrates the cascading links from the NNSA Strategic Plan, to the Office of the Administrator Goal, Plans, Budgets, and Reports that drill down to accountability and results.

NNSA developed and issued the NNSA Planning, Programming, Budgeting, and Evaluation (PPBE) Process Business Operating Procedures (BOP) revision 2 to further institutionalize an annual NNSA Evaluation Process which complements the other phases of the PPBE process. The purpose is to ensure NNSA achieves and articulates results by establishing clear, concise, meaningful, and measurable performance baselines, and by conducting credible performance reviews against these baselines. The BOP is applicable to all NNSA Headquarters elements, addresses evaluation activities directly associated with PPBE, and does not attempt to address the numerous other technical and contractual reviews such as those associated with the management of capital assets (DOE O 413.3) or contractor performance evaluation plans (PEPs).

An effective NNSA PPBE Evaluation Process will:
- Ensure corporate and individual discipline, integrity, accountability, and accuracy in planning and reporting annual targets and long-term goals;
- Measure corporate performance by tracking annual results towards achieving long-term goals, and
- Assure linkage and consistency in NNSA external and internal performance reporting through the NNSA performance cascade.

The NNSA PPBE Evaluation process is comprised of two elements:
- Performance Measurement Data
- Performance Reviews

Each NNSA program is managed using long-term performance goals with annual targets that cascade seamlessly from the NNSA strategic plan, and also link to supporting milestones, deliverables, and the budgets for program performers. The NNSA program performance measures are the framework for resource allocation decisions made in the annual PPBE Programming and Budgeting Phases. Annually, the NNSA performance-planning-budgeting decisions are documented in the Program Decision Memorandum (PDM) and used to develop the budget requests during the Budgeting Phase. Program and financial performance for each measure is corporately monitored and assessed during Execution and the PPBE Evaluation Phase. The Budget and Reporting (B&R) categories for each Program are listed and linked to performance metrics. All direct and indirect costs to attain the performance results for the Program are reported in the B&R categories. The cost for the NNSA Federal employees is carried in a separate NNSA program direction account, as required by the Congress. In the FY 2005 President's Budget, NNSA initiated a budget request format that includes the current 3 years plus 4 additional years of performance and budget information for each program ("GPRA Units") in the mainline budget justification document. Formerly, the out year funding and performance targets

were included in a separate document, the Future-Years Nuclear Security Program, provided with the budget request.

Beginning with the President's FY 2004 budget submission, the Office of Management and Budget began using the Performance Assessment and Rating Tool (PART) to support evaluation of one of the PMA categories, Budget-Performance Integration. The OMB objective, to review 100% of the budget "programs" in five years, in 20% increments (i.e., adding 20% each year), may be extended to seven years. For the FY 2007 Performance Assessment Rating Tool (PART), the OMB has prepared PART workbooks for seven different types of federal programs. Each has the following five sections: Instructions, Questions and Section Scoring, Performance Measures, Account (Funding) Information, and Summary (scores). Common to all types of workbooks are twenty-five questions in four sections, with additional ones that are program-type specific. Program representatives support each answer with an "explanation" and "evidence" listing. Workbook electronic pull-down menus aid program representatives to answer questions and provide explanations and evidence. Both the answers (Yes, No, N/A and, in Section 4 (only), Large Extent and Small Extent) and the sections are weighted and answers are electronically converted to scores. The maximum score is 100%. The appropriate OMB budget examiner reviews the program answers, explanations, and evidence and approves or revises the answers into an evaluation and final score and discusses the result with the program representatives. The results can be incorporated into the budget submission to OMB.

NNSA's budget includes five-year projections of ambitious annual targets leading towards a long-term endpoint target for each performance measure. The annual targets for the year of execution are locked after each year's appropriation is finalized. Progress for each target is evaluated and reported to the Department's Joule performance tracking data. In addition, the Administrator conducts annual reviews of each program to access performance results and to identify opportunities for acceleration, coordination, and corrections, if needed. Consolidated semi-annual status reports on all open action items are provided to the Administrator.

Human Capital Management Actions, Milestones, and Performance Measures
The FY 2007 Performance Measures are consistent with the ones for FY 2004, FY 2005, and FY 2006. In addition, to the performance measures located in the Appendix A, Action Plans, Human Capital Management decisions are made based on the planned Managed Staffing Plan positions filled by year-end. End-point targets have been assigned in the budget plan submitted to Congress. By FY 2007, NNSA's Human Capital Management decisions are tied to our ability to maintain the percentage of approved positions filled to at least 98% of levels in the approved Managed Staffing Plans.

A-76 Implementation: The NNSA CIO staff will be meeting in the coming weeks with the DOE CIO staff and the Most Efficient Organization for discussions to work through plans for implementation of the recent A-76 decision for Departmental IT.

Appendix C

NATIONAL NUCLEAR SECURITY ADMINISTRATION

BOP-002.1a

Dated: 9/10/04

NATIONAL NUCLEAR SECURITY ADMINISTRATION ORGANIZATIONAL CHANGE POLICY

1. <u>OBJECTIVE</u>. To establish the responsibilities, authorities and procedure for developing and implementing organizational changes and transfers of function for the National Nuclear Security Administration (NNSA).

2. <u>APPLICABILITY</u>. All NNSA elements.

3. <u>REQUIREMENTS</u>.

   a. An organizational change constitutes an official legal document and becomes part of the historical record of NNSA. Therefore, managers shall develop and submit organizational change proposals in accordance with procedures, which are addressed in attached guidelines.

   b. Managers shall consult with their respective Human Resources (HR) consultants   when considering and formulating organizational change proposals. When a function is being considered for deletion, it must be confirmed that either another organization within NNSA is performing the function, the function is no longer needed to support NNSA's mission, or mandatory budgetary constraints force it to be so. When a function is to be added, it must be confirmed that no other organization within NNSA is performing the same function, or if so, it is essential to duplicate the function due to specific programmatic requirements and the function is clearly tied to mission of NNSA as specifically reflected in the goals and performance measures of NNSA's strategic plan. When a function is added or deleted, the above justification will be included in the reporting documentation.

   c. Organization changes shall not be announced or implemented until approval is granted and appropriate union coordination (if applicable) and other pre-release clearances have been obtained. Before announcing the approved organizational change, the organizational change package, including the approved action memo, current and proposed mission and functions, current and proposed organization charts, and employee crosswalk shall be forwarded to HQ/HR for regulatory review, to obtain concurrence from appropriate program managers, and submission to the Department's Workforce Analysis and Planning Division for implementation and issuance of new organization codes/routing symbols. HR/SC will process employee crosswalks for the Site Offices and Service Center, and HQ/HR will process employee crosswalks for Headquarters.

   d. All implementation actions must be initiated within 30 days after the date of action memo approval (sample memo attached with Guidelines), including the submission of updated position descriptions for affected positions, with a target of completion within 120 days after the organizations change

4.   <u>RESPONSIBILITIES</u>.

    a.   <u>Administrator for Nuclear Security</u>. Approves or delegates authority to approve, organizational changes and transfers of function (1) across competitive areas and (2) across first tier components.

    b.   <u>HQ 1st Tier Managers/Director, Service Center/Site Office Managers</u>. Approve organizational changes within their organizations. Managers shall consult with their HR Offices before approving and announcing organizational changes.

    c.   <u>Supervisors and Managers</u>. (1) Coordinate with HR consultants to develop organizational design concepts, (2) develop organizational change proposals and, (3) submit proposals that are based on organizational and/or mission needs, in keeping with good management practices and available resources.

    d.   <u>NNSA Director of Human Resources</u>. (1) Develops policies and procedures on approving organizational change in NNSA, (2) makes authoritative determination as to when and where transfer of function exists and the potential employee impacts of an organizational change, and (3) manages processes by which employee adversely impacted by organizational change receive entitlements, such as Career Transition Assistance Program (CTAP), Interagency Career Transition Assistance Program (CTAP), buyouts, severance pay, notices, etc.

    e.   <u>Service Center Human Resource Department (SC/HR)</u>. (1) Provides advice and guidance on policies and procedures on effective organizational change development and implementation within the Service Center and Site Offices, (2) assists clients in preparing change documentation and implementing approved changes,

    f.   <u>Headquarters Office of Human Resources (HQ/HR)</u>. (1) Provides advice and guidance on policies and procedures on effective organizational change implementation for transfer of functions across competitive areas and across first tier components throughout all NNSA, and for organization changes within HQ, (2) assists clients in preparing change documentation and implementing approved changes, (3) provides a regulatory review of all organizational change packages, obtains concurrence from appropriate program managers, and submits package to the Department's Workforce Analysis and Planning Division for implementation, (4) maintains a central repository for all organizational change packages, and (5) ensures that bargaining unit obligations as prescribed in law, regulation, or contract with a recognized bargaining unit are met prior to the implementation of any organizational change.
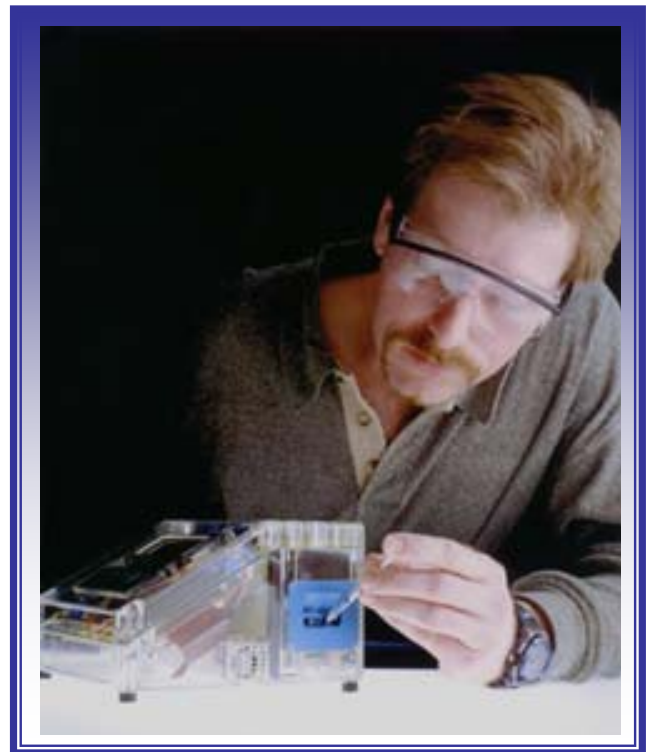
5.   <u>POINT OF CONTACT</u>. Assistant Human Resources Director for Policy and Workforce Planning (NA-641), 301-903-5192.

                    Michael C. Kane
                    Associate Administrator for
                    Management and Administration

Attachment:
A Guideline for Initiating, Developing, Approving, and
Implementing an Organizational Change Within NNSA

Appendix D

NNSA Succession Plan Table of Contents

INTRODUCTION

The National Nuclear Security Administration (NNSA) recognized a need in its NNSA Workforce Plan 2004 to develop a competency-based leadership succession plan. This plan is the result. It lays out leadership competencies based on the Senior Executive Service's Executive Core Qualifications and certain NNSA specific competencies.

This plan lays out what is needed to be a leader in the NNSA of the future. It focuses mainly on leadership qualities, assuming that NNSA employees are – and will continue to be – technically competent in their chosen fields. Certain competencies required by the unique nature of the NNSA mission or NNSA unique processes or procedures, are included to round out the experiences and knowledge required of an NNSA leader. This plan does not alleviate the responsibilities of supervisors to prepare their staff for ever-greater responsibilities as they show the capability to handle them. This plan is fully supported both financially and by NNSA senior management as a key to keeping the NNSA mission functioning at the highest level possible, with the support of the Human Resources and Training Residual Organizations.

This plan also responds to certain requirements of the Federal Workforce Flexibility Act of 2004, Public Law 108-411, signed by the President on October 30, 2004 by establishing an annual review process of the performance measures, the competencies themselves and the overall effectiveness of the program.

SUCCESSION PLAN PRINCIPLES, GOALS and PERFORMANCE MEASURES

PLAN PRINCIPLES

The NNSA Succession Plan is based on the principle that every NNSA employee is capable of assuming a leadership position given the encouragement, opportunity and support needed to learn and demonstrate leadership skills and competencies. This plan is not focused on any particular grade level or occupational series; rather it promotes the concept of encouraging the development and assessment of leadership skills from alpha to omega – from hiring to selection as an NNSA leader.

PLAN GOALS

The goals of this plan are to:

- establish the particular leadership skills and competencies needed to be successful as a leader in NNSA;
- delineate methods of achieving a leadership development portfolio;
- provide a means to assess the leadership skills and competencies of NNSA employees;
- provide an outline that each NNSA component can follow in establishing a pool of qualified leadership candidates for its workforce staffing plan;
- establish performance measures for quality management of the plan; and,
- establish a Plan of Action and Milestones for implementation.

Leadership Competency Details

This Succession Plan makes it clear that a focus on developing leadership skills is the ultimate driver of a succession plan. The technical skills of an NNSA employee are honed through varied assignments and technical training opportunities. What is often not known or honed is what it takes to be qualified to assume a leadership position in NNSA. NNSA adopts a modified version of the Senior Executive Service Executive Core Qualifications as its leadership competency and skill set. The specifics follow.

Leading Change

Vision. Takes a long-term view and acts as a catalyst for organizational change; builds a shared vision with others. Influences others to translate vision into action.

External Awareness. Identifies and keeps up-to-date on key international policies and economic, political, and social trends that affect the organization. Understands near-term and long range plans and determines how to best be positioned to achieve a competitive business advantage in a global economy.

Creativity and Innovation. Develops new insights into situations and applies innovative solutions to make organizational improvements; creates a work environment that encourages creative thinking and innovation; designs and implements new or cutting-edge programs/processes.

Strategic Thinking. Formulates effective strategies consistent with the business

and competitive strategy of the organization in a global economy. Examines policy issues and strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats or opportunities. Incorporates principles of knowledge management into future planning.

Continual Learning. Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self-development; seeks feedback from others and opportunities to master new knowledge.

Resilience. Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.

Flexibility. Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.

Service Motivation. Creates and sustains an organizational culture which permits others to provide the quality of service essential to high performance. Enables others to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions.

Leading People

Conflict Management. Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts, and disagreements in a positive and constructive manner to minimize negative impact.

Leveraging Diversity. Recruits, develops, and retains a diverse high quality workforce in an equitable manner. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Respects, understands, values and seeks out individual differences to achieve the vision and mission of the organization. Develops and uses measures and rewards to hold self and others accountable for achieving results that embody the principles of diversity.

Team Building. Inspires, motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. Develops leadership in others through coaching, mentoring, rewarding and guiding employees.

Integrity/Honesty. Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.

Building Coalitions/Communication

Oral Communication. Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed;

facilitates an open exchange of ideas and fosters atmosphere of open communication.

Written Communication. Expresses facts and ideas in writing in a clear, convincing and organized manner.

Influencing/Negotiating. Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.

Partnering. Develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.

Political Savvy. Identifies the internal and external politics that impact the work of the organization. Approaches each problem situation with a clear perception of organizational and political reality, recognizes the impact of alternative courses of action.

Interpersonal Skills. Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.

Results Driven

Accountability. Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget.

Monitors and evaluates plans, focuses on results and measuring attainment of outcomes.

Problem Solving. Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.

Decisiveness. Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even when data are limited or solutions produce unpleasant consequences; is proactive and achievement oriented.

Customer Service. Balancing interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the need of clients; achieves quality end products; is committed to continuous improvement of services.

Entrepreneurship. Identifies opportunities to develop and market new products and services within or outside of the organization. Is willing to take risks; initiates actions that involve a deliberate risk to achieve a recognized benefit or advantage.

Technical Credibility. Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions and to address training and development needs. Understands linkages between administrative competencies and mission needs.

Business Acumen

Financial Management. Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area using the NNSA PPB&E process; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.

Human Resources Management. Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff is appropriately selected, developed, utilized, appraised and rewarded; takes corrective action.

Technology Management. Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develop strategies using new technology to enhance decision-making. Understands the impact of technological change on the organization.

Safety. Knowledge of public safety and occupational health and safety rules and regulations; investigation and inspection techniques; or rules, regulations, precautions, and prevention techniques for the protection of people and property.

Safeguards and Security. Knowledge of the military, weaponry, and intelligence operations; investigation and inspection techniques; or rules, regulations, precautions, and prevention techniques for the protection of data and property.

Leadership Development Portfolio

Since the intent of the NNSA Succession Plan is to delineate and promulgate the skills and competencies necessary to assume NNSA leadership positions, there are no *required* formal training activities or programs. We recognize that not all employees have access to the same training opportunities for budget and other reasons. In this light, this section recommends activities that may be helpful in allowing NNSA employees with an interest in leadership positions to gain valuable experience, training and mentoring.

Individual Development Plans – Any NNSA employee interested in developing their leadership skills and advancing to a leadership position must chronicle their activities through their Individual Development Plan (IDP). The IDP is collaboratively developed between the supervisor and employee.

Recommended Training – The following are currently available formal training courses and programs that should be reviewed and attended as permitted by NNSA employees interested in developing their leadership skills: Federal Executive Institute Leadership for a Democratic Society; The 7 Habits of Highly Effective People; any locally available entry-, mid- and executive-level career leadership programs; DOE and local mentoring programs; and developmental assignments agreed to by the supervisor and employee that advance leadership skills. NNSA will also develop its own mentoring program for new hires as part of its knowledge management culture initiative. We will also continuously research and offer supervisory training or will develop

training specific to our needs and make it available to all supervisors or those wanting to advance their supervisory capabilities.

Leadership Potential Assessment

Hiring - NNSA is committed to revising its hiring processes to include assessment of potential leadership skills as part of the assessment of potential new employees. These revisions will comply with merit system principles.

Self-assessment – NNSA will use the Department's skills assessment tool, available through the Employee Self Service web site, as one method of assessing employee leadership potential.

PERFORMANCE MEASURES

To evaluate the effectiveness of the NNSA Succession Plan, a set of clear and reliable and performance measures is required.

- The first such measure is the number of NNSA employees selected to NNSA leadership positions in the GS-13 and higher level.
- A second measure is the number of employees availing themselves of formal leadership training opportunities, including participation in the DOE mentoring program.
- A third measure is the number of self-assessments completed through the Department's tool.
- A fourth measure is the number of IDPs showing requests for leadership training, activities or programs.

- A fifth measure is the ratio of participants in leadership programs being selected for leadership positions.
- A sixth measure is an annual review of the competencies required for NNSA leadership positions.

http://www.nnsa.doe.gov